

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

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In the Matter of the Arbitration Between

MILTON A. GREEN  
JO ANN GREEN

Claimants

Case #88-02329

vs.

Award

PRUDENTIAL-BACHE SECURITIES

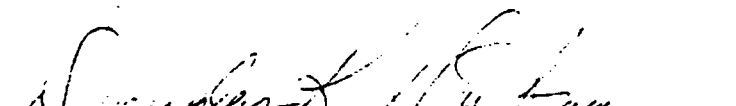
Respondent

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On April 14, 1989, the undersigned arbitrators heard the controversy between the parties as set forth in submissions to arbitration signed by Claimants, Milton and Jo Ann Green on June 30, 1988 and by Respondent, Prudential-Bache Securities, Inc. on April 30, 1988. The arbitration panel, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted for determination as follows:

1. Respondent Prudential-Bache Securities, Inc. is hereby liable and shall pay to Claimants Milton and Jo Ann Green the amount of Two Thousand Dollars and Zero Cents (\$2,000.00)
2. The parties shall each bear their respective costs including attorneys' fees.
3. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall retain the \$400.00 filing fee previously deposited by the Claimant and shall assess Respondents \$400.00 in forum costs to be made payable to the NASD.

  
Kenneth R. Behrend

  
Frederick E. Liechti

  
Douglas K. Hartman

Dated: May 19, 1989