

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert Haines

Claimant(s)

vs.

Greentree Securities, Inc.,
Formerly Brooks, Weinger,
Robbins & Leeds

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-02643

CASE SUMMARY

Claimant(s) Robert Haines alleged that Respondent(s) Greentree Securities, Inc., Formerly Brooks, Weinger, Robbins & Leeds pressured Claimant to purchase stocks he did not want to purchase and did not respond to this telephone inquiries. Respondent(s) did not defend.

RELIEF REQUESTED

Claimant(s) Robert Haines requested damages of Five Thousand Dollars and No Cents (\$5,000.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Prudence W. Baldwin, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on August 16, 1988 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim of the Claimant shall be and hereby is dismissed without prejudice.

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the NASD, Inc.

August 22, 1989