

JAW's

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between

George A. Mermod

Claimant

Case #88-02748

ORDER

vs.

Judith Hochberg

Respondent

O R D E R

It appearing that the parties have submitted the controversy between them to arbitration as set forth in Uniform Submission Agreements signed on August 22, 1988 by George A. Mermod ("Claimant") and not signed by Respondent Judith Hochberg as required pursuant to Section 8 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure and it appearing that a Statement of Claim and an Answer were filed by Claimant and Respondent, respectively; and it appearing that the arbitration of this matter was scheduled to begin on February 20, 1990 at 9:30 A.M. in New York City, NY before the undersigned arbitrator and it appearing that in accordance with Section 21 and Section 26 of the Code of Arbitration Procedure, the Claimant and the Respondent were given due notice of the hearing procedure by certified mail and failed to appear;

It is hereby ordered by the undersigned arbitrator as follows:

1. Pursuant to Section 16 of the Code of Arbitration Procedure the claim by the Claimant be and hereby is dismissed without prejudice;
2. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall retain the \$100.00 filing fee previously deposited by the Claimant.

CONCURRING ARBITRATOR



David N. Brainin, Esq.