

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Chee-Ken Tan, Custodian for  
Joseph Tan

Claimant(s)

vs.

Harris Brokerage Service,  
Inc.

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
88-02864

CASE SUMMARY

Claimant Chee-Ken Tan, Custodian for Joseph Tan alleged that Respondent Harris Brokerage Service, Inc. mishandled Claimants account held with Respondent. Respondent denies Claimant allegations and counter claims against the Claimant for unpaid debit balance.

RELIEF REQUESTED

Claimant Chee-Ken Tan, Custodian for Joseph Tan requested damages of Two Thousand, Five Hundred Dollars and No Cents (\$2,500.00). Respondents counter claim for Six Hundred, Forty One Dollars and Forty Nine Cents (\$641.49)

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Arnold O. Flicker, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on October 7, 1989 and by Respondent on March 7, 1989. 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 against Respondent shall be dismissed in its entirety, The counter claim by the Respondent against the Claimant shall be dismissed in its entirety.

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant shall be retained by the NASD as costs of this proceeding and reimbursed by the Respondent to the Claimant.

September 20, 1989