

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Jay E. Goldstein and
Sharon Goldstein

Claimant(s)

vs.

Greentree Securities Corp.

Respondent(s)

AWARD

88-02997

The Arbitrator, Thomas J. Hawekotte, Esq., selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the Claimant on November 1, 1988 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondent is liable and shall pay to the Claimant the sum of Five Thousand Four Hundred Dollars and No Cents (\$5,400.00);

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$100.00 filing fees previously deposited with the NASD, Inc. by the Claimant will be retained by the NASD, Inc. as costs of this proceeding.