

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Merrill Lynch, Pierce,
Fenner & Smith, Inc.

Claimant(s)

vs.

Douglas I. Cerny

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-03037

CASE SUMMARY

Claimant Merrill Lynch, Pierce, Fenner & Smith, Inc. alleged that Respondent Douglas I. Cerny has an amount of \$2,196.67 due and owing in his securities account. Respondent did not defend.

RELIEF REQUESTED

Claimant Merrill Lynch, Pierce, Fenner & Smith, Inc. requested damages of Two Thousand One Hundred Ninety Six Dollars and No Cents (\$2,196.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Neill Edward Hannon, 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 September 26, 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:

That the Respondent is liable and will pay to the Claimant the sum of Two Thousand One Hundred Ninety Six Dollars and Sixty-Seven Cents (\$2,196.67).

The Claimant is awarded reasonable costs and expenses to collect this debt, including attorney's fees.

The \$525.00 filing fee previously deposited with the NASD, Inc. by the Claimant will be refunded to the Claimant by the Respondent.

August 3, 1989