

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Curtis R. Autrey

Claimant(s)

vs.

Capital First
Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD

88-03155

CASE SUMMARY

Claimant(s) Curtis R. Autrey alleged that Respondent(s) Capital First Securities, Inc. sold securities not registered in Texas. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Curtis R. Autrey requested damages of Ten Thousand Dollars and No Cents (\$10,000.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Perry E. Wallace, Jr., Esq., 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 October 7, 1988 and by Respondent(s) on March 1, 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:

Respondent shall be liable to the Claimant for the amount of Ten Thousand Dollars and No Cents (\$10,000.00).

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

The \$400.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD, Inc. as costs of this proceeding and reimbursed to the Claimant by the Respondent.

September 27, 1989