

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Ronald D. Peikes

Claimant(s)

vs.

Individual's Securities Ltd
(f/k/a Hamilton Grant & Co.,
Inc.)

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03187

CASE SUMMARY

Claimant(s) Ronald D. Peikes alleged that Respondent(s) Individual's Securities Ltd (f/k/a Hamilton Grant & Co., Inc.) committed unauthorized trades in Claimant's account resulting in monetary losses. Individual's Securities maintains that they are not successors in interest to Hamilton Grant and Company and therefore not liable for Hamilton Grant and Company improprieties.

RELIEF REQUESTED

Claimant(s) Ronald D. Peikes requested damages of Four Thousand Two Hundred Seventy Five Dollars and No Cents (\$4,275.00). 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, Mary E. Baker, 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 December 5, 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:

The Respondent shall be liable to the Claimant for the total amount of Four Thousand Two Hundred Seventy Five Dollars and No Cents (\$4,275.00) plus maximum legal interest from the date of this decision.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

August 3, 1989