

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Eileen Luisi

Claimant(s)

vs.

Prudential Bache Securities, Inc.
Jeanine Webster, Bryon Wiswell &
Floyd Jordan

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03217

CASE SUMMARY

Claimant Eileen Luisi alleged that Respondents Prudential Bache Securities Inc. Jeanine Webster, Bryon Wiswell & Floyd Jordan wrongfully misrepresented to her the risk involved with certain mutual funds and stock purchases made through Respondents. Respondents maintain that there was no misrepresentation of material fact given by Respondents to Claimant with respect to above investments.

RELIEF REQUESTED

Claimant Eileen Luisi requested damages of \$2,500 which represents the difference between the Claimants original investment of \$5,000 in August 1987 and the liquidated value of her investments \$2,441 on September 15, 1988. Respondents requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, William Zysk, 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 3, 1988 and by Respondents on January 19, 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:

That the Claim against Respondent shall be dismissed in it's 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 for administrative costs.

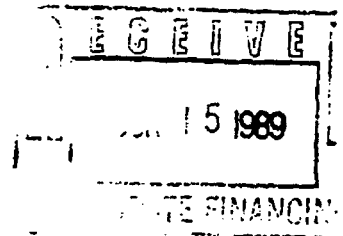
July 6, 1989

Note: Fill out only those sections which apply to this particular case:

- 1) Find for the Claimant
(a) total amount of the award: \$ 0
(b) if two or more respondents are liable:
(1) joint and severally liable: yes _____ no _____
(2) if respondents separately liable
list party and the amounts: _____

- 2) Case Dismissed ✓
- 3) Counterclaim of Respondent
(a) total amount of award: \$ _____
(b) party to receive award: _____
(c) counterclaim dismissed: _____
- 4) Punitive Damages
(a) total amount \$ _____
(b) name parties against whom damages are to be
assessed and in what amounts: _____

- (c) claim dismissed: _____
- 5) NASD Fee
(a) assessed against Claimant ✓
(b) assessed against Respondent _____
- 6) Use this space to expand or clarify any part of the
decision above or to indicate other forms of specific
relief.



Affirmation

STATE OF

} SS:
}

COUNTY OF

I, William Zysk, do hereby affirm upon my oath
as arbitrator that I am the individual described in and who
executed this instrument, which is my oath and award.

5/9/89
(DATE)

William Zysk
(SIGNATURE OF ARBITRATOR)