

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Richard R. and
Beverly A. Van Damme

Claimant(s)

vs.

The Stuart James Co.

Respondent(s)

AWARD
88-03370

The Arbitrator, Leo B. Rotter, 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 parties on October 25, 1988 and November 29, 1988, respectively;

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 Respondent The Stuart-James Company, Inc. shall pay the sum of Two Thousand Six Hundred Eighty Three Dollars and Eighty-Seven Cents (\$2,683.87) to Claimants on account of their handling of the Applied Spectrum Technology transactions plus One Hundred Forty Six Dollars and Thirteen Cents (\$146.13) in interest. The total award is Two Thousand Eight Hundred Thirty Dollars and No Cents (\$2,830.00);

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 shall be reimbursed to the Claimant by the Respondent.

Dated
5/23/89