

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Edward J. and  
Marjorie E. Kohl

Claimant(s)

vs.

Ziegler Thrift Trading, Inc.

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
88-03562

CASE SUMMARY

Claimant(s) Edward J. and Marjorie E. Kohl alleged that Respondent(s) Ziegler Thrift Trading, Inc. failed to execute a sell order in a timely fashion. Respondent(s) denies Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Edward J. and Marjorie E. Kohl requested damages of Four Thousand Four Hundred Dollars and No Cents (\$4,400.00). 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, Ronee C. McLaughlin, 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 November 11, 1988 and by Respondent(s) on July 20, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the Respondent is liable and will pay to the Claimants the sum of Four Thousand Four Hundred Dollars and No Cents (\$4,400.00).

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) will be refunded to the Claimant by the Respondent.

November 3, 1989