

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert J. VanHorn &
Claire G. VanHorn

Claimant(s)

vs.

Olde Discount Corporation

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-03662

CASE SUMMARY

Claimants Robert J. VanHorn & Claire G. VanHorn alleged that Respondent Olde Discount Corporation never delivered securities purchased and as a consequence Claimants lost legal rights when the issuing corporation was acquired. Respondents maintain that it diligently tried to have the securities re-issued when Claimants notified Respondent that the securities were never received.

RELIEF REQUESTED

Claimants requested damages of \$2,026.00. 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 was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on November 22, 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 Respondent is liable and will pay to the Claimant the sum of Two thousand one dollar and twenty-five cents (\$2001.25);

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 refunded to the Claimants by the Respondent.

June 26, 1989

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

^F1^

ROBERT J. VANHORN AND
CLAIRE G. VANHORN

Claimant(s)

vs.

^F2^

OLDE DISCOUNT CORP.

Respondent(s)

NOTICE OF ARBITRATION
AWARD

^F3^

NASD ARBITRATION
88-03667

The Arbitrator, ^F9^, 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 ^F4^ and ^F5^, 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 ^F6^;

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$^F7^.00 filing fees previously deposited with the NASD, Inc. by the Claimant ^F8^.