

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert D. Westfall

Claimant(s)

vs.

Merrill Lynch, Pierce,  
Fenner & Smith, Inc.

Respondent(s)

AWARD

88-03680

The Arbitrator, Gerald T. Grady, Jr., 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 November 22, 1988 and January 30, 1989, 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 the claim of the Claimant is dismissed without prejudice;

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 retained by the NASD as costs of this proceeding.

May 31, 1989