

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Irving & Barbara Toplin

Claimant(s)

vs.

Equities International

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03829

CASE SUMMARY

Claimant Irving & Barbara Toplin alleged that Respondent Equities International mishandle Claimants stock account by the unauthorized sale of Recognition Technology stock in Claimants account with Respondent.

RELIEF REQUESTED

Claimant Irving & Barbara Toplin requested damages of \$1,697.

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 December 9, 1988. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The Respondent is liable to Claimant in the amount of \$1,697.00 plus simple legal interest from October 28, 1988 to the date award is satisfied.

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