

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

George F. Johnson and
Ruth A. Johnson

Claimant(s)

vs.

William S. Cozine and
Prudential-Bache Securities,
Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-03910

CASE SUMMARY

Claimant George F. Johnson and Ruth A. Johnson alleged that Respondent William S. Cozine and Prudential-Bache Securities, Inc. misrepresented material facts concerning Claimants' arbitrage account with Respondent. Respondents deny all allegations.

RELIEF REQUESTED

Claimant George F. Johnson and Ruth A. Johnson requested damages of Four Thousand Eight Hundred Thirty Dollars and No Cents (\$4,830.00). 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, Perry E. Wallace, Esq., 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 14, 1988 and by Respondents on March 3, 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:

The claim against the Respondent shall be dismissed in its entirety.

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 shall be retained by the NASD as costs of this proceeding.

August 3, 1989