

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Charles Henry Weisker,
Trustee, Margaret Ryan Weisker
Trust et al

Claimant(s)

vs.

Daniel Owen Palmer

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-03913

CASE SUMMARY

Claimant(s) Charles Henry Weisker, Trustee, Margaret Ryan Weisker Trust et al alleged that Respondent(s) Daniel Owen Palmer made unregistered sales of securities. Respondent(s) maintain that Claimant's losses were not the result of Blue Sky Regulations. The losses were the unfortunate realization of a risk that the Claimant knew fully well when he agreed to purchase the stock.

RELIEF REQUESTED

Claimant(s) Charles Henry Weisker, Trustee, Margaret Ryan Weisker Trust et al requested damages of Four Thousand Four Hundred Fifty Six Dollars and No Cents (\$4,456.00). 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, Charles E. Jones, 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 8, 1988 and by Respondent(s) on June 22, 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 of the Claimant is dismissed in all respects.

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) shall be retained by the NASD, Inc. as costs in this proceeding.

July 28 1989