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NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Lisa Templeton

Claimant(s)

vs.

Otra Clearing Inc. and Capital
Securities, Inc

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-03969

CASE SUMMARY

Claimant(s) Lisa Templeton alleged that Respondent(s) Otra Clearing Inc. and Capital Securities, Inc made an illegal trade. Respondent(s) deny all allegations of wrong doing.

RELIEF REQUESTED

Claimant(s) Lisa Templeton requested damages of Five Hundred Seven Dollars and No Cents (\$507.00). 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, Virginia M. Handal, 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 September 21, 1988 and by Respondent(s) on July 17, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The claim of the Claimant is hereby dismissed in all respects.

The parties shall each bear their respective costs including attorney's fees.

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 3, 1989