

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Eva Eisenstein, TTEE for  
the Eisenstein Family Trust

Claimant(s)

vs.

PaineWebber, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-00011

CASE SUMMARY

Claimant(s) Eva Eisenstein, TTEE for the Eisenstein Family Trust alleged that Respondent(s) PaineWebber, Inc. mishandled her account. Respondent(s) denied all allegations.

RELIEF REQUESTED

Claimant(s) Eva Eisenstein, TTEE for the Eisenstein Family Trust requested damages of One Thousand Eight Hundred Fifty Two Dollars and Twenty Cents (\$1,852.20). 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, Ronee C. McLaughlin, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration by the Claimant(s) and signed by Respondent(s) on August 7, 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:

That the claim of the Claimant shall be and hereby is dismissed in all respects.

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(s) will be retained by the NASD as costs of this proceeding.

October 31, 1989