

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Patrick and  
Sandra J. Davis

Claimant(s)

vs.

Nelson Securities, Inc.

vs.

Emmett A. Larkin Co. and  
First Trust Corp.

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00046

CASE SUMMARY

Claimant(s) Patrick and Sandra J. Davis alleged that Respondent(s) Nelson Securities, Inc. failed to execute Claimant's order. Respondent(s) denies Claimant's allegations. Respondent Nelson Securities, Inc. brought a third party claim against Emmett A. Larkin Co. and First Trust Corp.

RELIEF REQUESTED

Claimant(s) Patrick and Sandra J. Davis requested damages of Five Thousand Three Hundred Forty Two Dollars and No Cents (\$5,342.00). 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, Thomas B. Corey, 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 December 14, 1988 and by Respondent(s) on March 1, 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 Respondent Nelson Securities, Inc. shall be dismissed.

The third party claim by Nelson Securities, inc. against Emmett A. Larkin Co. and First Trust Corp. is dismissed.

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

August 18, 1989