

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Adrian M. Bianconi

Claimant(s)

vs.

Capital First Securities

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00143

CASE SUMMARY

Claimant(s) Adrian M. Bianconi alleged that Respondent(s) Capital First Securities mishandled Claimant's account held with Respondent. Respondent(s) has not responded to Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Adrian M. Bianconi requested damages of Six Hundred Seventy Five Dollars and No Cents (\$675.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Scott Sullivan Wallner, 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 January 19, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 Respondent shall be liable to the Claimant for the amount of Six Hundred Seventy Five Dollars and No Cents (\$675.00).

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 and reimbursed to the Claimant by the Respondent.

November 10, 1989