

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Janet Procunier

Claimant(s)

vs.

Prudential-Bache Securities, Inc.  
and Ernest Dill

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-00155

CASE SUMMARY

Claimant(s) Janet Procunier alleged that Respondent(s) Prudential-Bache Securities, Inc. and Ernest Dill did not handle Claimant's account in a prudent manner. Respondent(s) maintain that their actions were authorized by Claimant.

RELIEF REQUESTED

Claimant(s) Janet Procunier requested damages of Ten Thousand Dollars and No Cents (\$10,000.00). 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, George R. Freund, 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 13, 1989 and by Respondent(s) on April 5, 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:

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 \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD as costs of this proceeding.

/s/

George R. Freund

July 28, 1989