

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Greg G. Jenkins

Claimant(s)

vs.

PaineWebber, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-00175

CASE SUMMARY

Claimant(s) Greg G. Jenkins alleged that Respondent(s) PaineWebber, Inc. made an unauthorized sale of stock. Respondent(s) maintain that Claimant was made aware of Respondent's intention to sell the stock.

RELIEF REQUESTED

Claimant(s) Greg G. Jenkins 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, Andrew Reegen, 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 4, 1989 and by Respondent(s) on June 6, 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 Respondent is liable and will pay to the Claimant the sum of Eight Hundred Forty Six Dollars and No Cents (\$846.00).

The Claimant's request for 1,102.00 shares of SFSP is denied.

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.

August 18, 1989