

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

W. Richard Barnhart,  
attorney-in-fact for  
Audrey Henry Barnhart

Claimant(s)

vs.

PaineWebber, Inc.  
and Ronald Walchack

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00217

CASE SUMMARY

Claimant(s) W. Richard Barnhart, attorney-in-fact for Audrey Henry Barnhart alleged that Respondent(s) PaineWebber, Inc. and Ronald Walchack mishandled an investment. Respondent(s) maintain that they are not liable to the Claimant for any monetary damages.

RELIEF REQUESTED

Claimant(s) W. Richard Barnhart, attorney-in-fact for Audrey Henry Barnhart requested damages of One Thousand Five Hundred Nine Dollars and Ninety-Five Cents (\$1,509.95). 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, Richard J. Meunier, 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 by Respondent(s) on May 31, 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 Respondents are jointly and severally liable and shall pay the sum of One Thousand Five Hundred Nine Dollars and Ninety-Five Cents (\$1,509.95) to the Claimant.

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 refunded to the Claimant jointly and severally by the Respondents.

August 18, 1989