

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Blaise, Maggie and Karen Ann  
DiMartino

Claimant(s)

vs.

Shearson Lehman Hutton, Inc.,  
and Timothy M. Poplin

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00255

CASE SUMMARY

Claimants Blaise, Maggie and Karen Ann DiMartino alleged that Respondents Shearson Lehman Hutton, Inc., and Timothy M. Poplin negligently mishandled Claimants account held with Respondents. Respondents denies Claimants allegations.

RELIEF REQUESTED

Claimants Blaise, Maggie and Karen Ann DiMartino requested damages of Nine Thousands Nine Hundred Ninety Nine Dollars and No Cents (\$9,999.00). Respondents requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Perry E. Wallace, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimants on January 1, 1989 and by Respondents on June 26, 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 shall be jointly and severally liable to the Claimants for the amount of Eight Thousand Dollars (\$8,000.00).

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

September 21, 1989