

ONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

T. Rowe Price Investment
Services, Inc.

Claimant(s)

vs.

Weston Lincoln Watkins and
Rebeckah Gillins Watkins

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00261

CASE SUMMARY

Claimant(s) T. Rowe Price Investment Services, Inc. alleged that Respondent(s) Weston Lincoln Watkins and Rebeckah Gillins Watkins owe Claimant the balance due on a "sweep account." Respondent(s) maintain that they paid all monies due.

RELIEF REQUESTED

Claimant(s) T. Rowe Price Investment Services, Inc. requested damages of Eight Hundred Fifteen Dollars and No Cents (\$815.00). 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, Prudence . Baldwin, 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 April 13, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure. 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 \$515.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD as costs in this proceeding.

August 21, 1989