

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Rickardo Plummer

Claimant(s)

vs.

Paul Codispoti

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
89-00312

CASE SUMMARY

Claimant(s) Rickardo Plummer alleged that Respondent(s) Paul Codispoti did not execute Claimant's sell order at an agreed price. Respondent(s) denies liability since Claimant's securities are traded in negotiated market and the sell order was executed at the best market price.

RELIEF REQUESTED

Claimant(s) Rickardo Plummer requested damages of Eight Hundred Dollars and No Cents (\$800.00). 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, Roneé C. McLaughlin, 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 1, 1989 and by Respondent(s) on October 10, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and 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 \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD.

January 16, 1990