

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Jack and Mildred
Targon, trustee

Claimant(s)

vs.

L.F. Thompson & Co., Jeff Zack
and Bradley D. Zilke

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00417

CASE SUMMARY

Claimant(s) Jack and Mildred Targon, trustee alleged that Respondent(s) L.F. Thompson & Co., Jeff Zack and Bradley D. Zilke negligently mishandled Claimants' account held with Respondent. Respondent(s) deny Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Jack and Mildred Targon, trustee requested damages of One Thousand Seven Hundred Thirty Seven Dollars and Seventy-Five Cents (\$1,737.75). 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 C. Moenning, 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 February 10, 1989 and by Respondent(s) on July 31, 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:

The Respondents shall be jointly and severally liable to the Claimant for the amount of One Thousand Seven Hundred Thirty Seven Dollars and Seventy-Five Cents (\$1,737.75).

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 retained by the NASD, Inc. as costs of this proceeding and reimbursed by the Respondent to the Claimant.

October 24, 1989