

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Sherwood Capital, Inc.

vs.

Fred Eisner

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00484

**CASE SUMMARY**

Claimant(s) Sherwood Capital, Inc. alleged that Respondent(s) Fred Eisner received an overpayment on commissions. Respondent(s) did not respond.

**RELIEF REQUESTED**

Claimant(s) Sherwood Capital, Inc. requested damages of Two Hundred Forty Dollars and No Cents (\$240.00).

**AWARD**

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Susan F. Stone, 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 9, 1989 and not by the Respondent as required by Section 8 of the NASD, Inc. Code of Arbitration Procedure;

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 Respondent is liable and shall pay the sum of Two Hundred Forty Dollars and No Cents (\$240.00) to the Claimant.

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) shall be refunded to the Claimant by the Respondent.

November 3, 1989