

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Tuaha Mian

vs.

Claimant(s)

Prudential-Bache Securities, Inc.
and Stuart Kosloff

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00603

CASE SUMMARY

Claimant(s) Tuaha Mian alleged that Respondent(s) Prudential-Bache Securities, Inc. and Stuart Kosloff overcharged commissions. Respondent(s) deny any agreement with the Claimant to charge only fifty percent of their normal commissions.

RELIEF REQUESTED

Claimant(s) Tuaha Mian requested damages of Nine Thousand Nine Hundred Fifteen Dollars and No Cents (\$9,915.00). 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, Nelson P. Lovins, 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 21, 1989 and by Respondent(s) on May 17, 1989 and May 16, 1989, respectively. 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 are jointly and severally liable and shall pay the sum of Four Thousand Nine Hundred Fifty Seven Dollars and Seventy Two Cents (\$4,957.72) to the Claimant.

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 Claimant(s) shall be jointly and severally refunded to the Claimant by the Respondents.

August 18, 1989