

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

In the Matter of the Arbitration Between

R. Paul Mikulas

Claimant(s)

vs.

Richard Blackman & Co.  
and Tom Leonard

Respondent(s)

**NOTICE OF ARBITRATION  
AWARD  
89-00684**

**CASE SUMMARY**

Claimant(s) R. Paul Mikulas alleged that Respondent(s) Richard Blackman & Co. and Tom Leonard negligently mishandled Claimant's account held with Respondent. Respondent(s) maintain that they acted fairly and with the full understanding of Claimant with respect to the management of Claimant's account.

**RELIEF REQUESTED**

Claimant(s) R. Paul Mikulas requested damages of One Thousand Dollars and No Cents (\$1,000.00). 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, William L. Hawes, 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 24, 1989 and by Respondent(s) on April 11, 1989. 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 Respondent shall be liable to the Claimant for the total amount of One Thousand Dollars and No Cents (\$1,000.00) plus 5% interest annually on the amount of \$3,757.00 from October 21, 1987 until the date of this award.

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 retained by the NASD and reimbursed to the Claimant by the Respondent.

August 23, 1989