

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James Curtis Beachum II

Claimant(s)

vs.

Scottsdale Securities, Inc.
and Roger Riney

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00688

CASE SUMMARY

Claimant(s) James Curtis Beachum II alleged that Respondent(s) Scottsdale Securities, Inc. and Roger Riney negligently mishandled Claimant's brokerage account held with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) James Curtis Beachum II requested damages of Ten Thousand Dollars and No Cents (\$10,000.00). 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 Zysk, 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 22, 1989 and by Respondent(s) on May 17, 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 claim against Respondent shall be dismissed in its entirety.

The parties shall each bear their respective costs including attorney's fees.

August 18, 1989