

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Lawrence Sales Ltd., Partnership,  
Max and Rita Lawrence

Claimant(s)

vs.

Prudential-Bache  
Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00841

CASE SUMMARY

Claimant(s) Lawrence Sales Ltd., Partnership, Max and Rita Lawrence alleged that Respondent(s) Prudential-Bache Securities, Inc. made misrepresentations. Respondent(s) maintain that Claimants' statements are a distortion of the truth and Respondents acted in good faith with no intent to deceive.

RELIEF REQUESTED

Claimant(s) Lawrence Sales Ltd., Partnership, Max and Rita Lawrence requested damages of One Thousand Forty Six Dollars and No Cents (\$1,046.00). 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, H. Victor Schwimmer, 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 March 15, 1989 and by Respondent(s) on August 8, 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 claim of the Claimant is hereby dismissed.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 25, 1989