

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Gene & Norma Bottenhoff

vs.

Claimant(s)

Prudential-Bache Securities, Inc.  
and Mark Patton

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00891

CASE SUMMARY

Claimants Gene & Norma Bottenhoff alleged that Respondents Prudential-Bache Securities, Inc. and Mark Patton failed to disclose the actual risks involved with investments in options. Respondents denies Claimants allegations.

RELIEF REQUESTED

Claimants Gene & Norma Bottenhoff requested damages of Four Thousand, Seven Hundred, Thirty Five Dollars and No Cents (\$4,735.00). Respondents requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Thomas B. Corey, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimants on February 27, 1989 and by Respondents on May 19, 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 Respondents shall be dismissed in its entirety.

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 Claimants shall be retained by the NASD as costs of this proceeding.

September 20, 1989