

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Diane C. Lambert

vs.

Claimant(s)

Daniel J. Cooper, Felton Skipper,
John Plum and John Bander

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00956

CASE SUMMARY

Claimant Diane C. Lambert alleged that Respondents Daniel J. Cooper, Felton Skipper, John Plum and John Bander negligently mishandled Claimant account held with Respondents. Respondents denies Claimant allegations.

RELIEF REQUESTED

Claimant Diane C. Lambert requested damages of Two Thousand Dollars (\$2,000). 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, Arnold O. Flicker, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on March 7, 1989 and by Respondents on June 16, 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 Daniel J. Cooper soley shall be liable to the Claimant for the total amount of Three Hundred Dollars (\$300.00). The claim against Respondent Skipper, Plan and Bander shall be dismissed.

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant shall be retained by the NASD as costs of this proceeding and reimbursed by the Respondent Cooper to the Claimant.

September 20, 1989