

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Kenneth T. Kaliski

Claimant(s)

vs.

Ronnie Lasek and Stuart James
Company, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-00963

CASE SUMMARY

Claimant Kenneth T. Kaliski alleged that Respondents Ronnie Lasek and Stuart James Company, Inc. mishandled his account. Respondents maintain that the Claimant's argument is inconsistent and that they attempted to make him whole.

RELIEF REQUESTED

Claimant Kenneth T. Kaliski requested damages of One Thousand Dollars (\$1,000.00). 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, Francis J. Daley, 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 10, 1989 and by Respondents on April 25, 1989 and May 23, 1989 respectively. 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, Ronnie Lasek is liable and shall pay the sum of Five Hundred Dollars (\$500.00) to the Claimant. The Respondent, Stuart James Company, Inc. is also liable and shall pay the sum of Two Hundred and Fifty Dollars (\$250.00) to the Claimant.

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 shall be refunded to the Claimant and be jointly and severally assessed against Respondent.

August 10, 1989