

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Arthur B. and  
Myran R. McCollum

Claimant(s)

vs.

Prudential-Bache Securities, Inc.  
and Ron Mark

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00976

CASE SUMMARY

Claimant(s) Arthur B. and Myran R. McCollum alleged that Respondent(s) Prudential-Bache Securities, Inc. and Ron Mark mishandled Claimants' brokerage account held with Respondent. Respondent(s) deny the Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Arthur B. and Myran R. McCollum requested damages of One Thousand Two Hundred Dollars and No Cents (\$1,200.00). 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 March 28, 1989 and by Respondent(s) on May 24, 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.

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

August 18, 1989