

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Anthony L. Mercatino

Claimant(s)

vs.

**Monmouth Investments, Inc. and
Lilliane Tietjen**

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01270

CASE SUMMARY

Claimant(s) Anthony L. Mercatino alleged that Respondent(s) Monmouth Investments, Inc. and Lilliane Tietjen mishandled a transaction. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Anthony L. Mercatino requested damages of Five Hundred Sixty Six Dollars and No Cents (\$566.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Janet Weiss, 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 April 19, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, 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 Respondent, Monmouth Investments, Inc. is liable and shall pay the sum of Five Hundred Sixty Five Dollars and Fifty-One Cents (\$565.51) to the Claimant; and

The claim against Lilliane Tietjen is dismissed in its entirety.

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(s) shall be refunded to the Claimant by the Respondent Monmouth Investments, Inc.

November 13, 1989