

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Gary and Ursula
Anderson JTWROS

Claimant(s)

vs.

Wakefield Financial Corporation
and Al Minella

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01311

CASE SUMMARY

Claimant(s) Gary and Ursula Anderson JTWROS alleged that Respondent(s) Wakefield Financial Corporation and Al Minella failed to execute a trade. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Gary and Ursula Anderson JTWROS requested damages of Five Thousand Eight Hundred Seventy Five Dollars and No Cents (\$5,875.00).

~~AWARD~~

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Ronee C. McLaughlin, Esq., 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 June 22, 1989 and not by the Respondents 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:

That the Respondents are jointly and severally liable and will pay to the Claimants the sum of Five Thousand Eight Hundred Seventy Five Dollars and No Cents (\$5,875.00).

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

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimants by the Respondents.

October 23, 1989