

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Shuh-Yueh Simon Hsu

Claimant(s)

vs.

Shearson Lehman Hutton, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01316

CASE SUMMARY

Claimant(s) Shuh-Yueh Simon Hsu alleged that Respondent(s) Shearson Lehman Hutton, Inc. committed an unauthorized transaction in Claimant's account held with Respondent. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Shuh-Yueh Simon Hsu requested damages of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00). 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, Mark E. Feierstein, 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 April 27, 1989 and by Respondent(s) on July 25, 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:

Respondent shall be liable to Claimant for the total amount of Five Hundred Dollars and No Cents (\$500.00).

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

September 25, 1989