

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

**In the Matter of the Arbitration Between**

**Allen Rosenblum**

**vs.**

**Claimant(s)**

**Wall Street Clearing Co.  
and Thomas D'Auria**

**Respondent(s)**

**NOTICE OF ARBITRATION  
AWARD  
89-01452**

**CASE SUMMARY**

Claimant(s) Allen Rosenblum alleged that Respondent(s) Wall Street Clearing Co. and Thomas D'Auria failed to execute a sell order as requested by Claimant and did not provide stock certificates requested on a timely basis. Respondent(s) deny all allegations.

**RELIEF REQUESTED**

Claimant(s) Allen Rosenblum requested damages of Six Thousand Five Hundred Dollars and No Cents (\$6,500.00. 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, Delores I. Smith, 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 March 31, 1989 and by Respondent(s) on June 27, 1989, 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 claim against the Respondents is hereby dismissed in all respects.

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) shall be retained by the NASD as costs of this proceeding.

November 8, 1989