

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Ali S. Zaza

vs.

John Finn & Co.

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01596

CASE SUMMARY

Claimant(s) Ali S. Zaza alleged that Respondent(s) John Finn & Co. negligently mishandled Claimant's order to purchase stock. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Ali S. Zaza requested damages of Four Thousand Six Hundred Ninety Three Dollars and No Cents (\$4,693.00). 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, 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 May 26, 1989 and by Respondent(s) on July 14, 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 the Respondent shall be dismissed in its entirety.

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 and reimbursed to the Claimant by the Respondent.

September 25, 1989