

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Gareth E. and Carol W. Weeks

Claimant(s)

vs.

**Merrill Lynch, Pierce, Fenner
& Smith, Inc.**

Respondent(s)

**NOTICE OF ARBITRATION
AWARD**

89-01610

CASE SUMMARY

Claimant(s) Gareth E. and Carol W. Weeks alleged that Respondent(s) Merrill Lynch, Pierce, Fenner & Smith, Inc. failed to follow instructions. Respondent(s) denies any and all allegations of wrong doing.

RELIEF REQUESTED

Claimant(s) Gareth E. and Carol W. Weeks requested damages of Four Thousand Nine Hundred Seventeen Dollars and No Cents (\$4917.00). 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, Virginia M. Handal, 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 9, 1989 and by Respondent(s) on July 31, 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 Respondent shall pay the sum of One Hundred Thirteen Dollars and Fifty Seven Cents (\$113.57) to the Claimant.

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 refunded to the Claimant by the Respondent.

October 3, 1989