

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James and Linda Engler

vs.

J.C. Bradford & Co.

Claimant(s)

Respondent(s)

**NOTICE OF ARBITRATION
AWARD
89-01734**

CASE SUMMARY

Claimant(s) James and Linda Engler alleged that Respondent(s) J.C. Bradford & Co. misrepresented material facts regarding their retirement funds and mishandled their account. Respondent(s) maintain that Claimant has failed to state a claim upon which relief can be granted.

RELIEF REQUESTED

Claimant(s) James and Linda Engler requested damages of Two Thousand Four Hundred Fifty Four Dollars and No Cents (\$2,454.00). 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 May 23, 1989 and by Respondent(s) on August 7, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The Respondent is liable and shall pay to Claimants the sum of Two Thousand Four Hundred Fifty Four Dollars and No Cents (\$2,454.00).

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD as costs of this proceeding.

October 19, 1989