

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

William B. Baker

vs.

Bradstreet Capital, Inc.

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01809

CASE SUMMARY

Claimant(s) William B. Baker alleged that Respondent(s) Bradstreet Capital, Inc. committed unauthorized trades with respect to Claimant's account held with Respondent.

RELIEF REQUESTED

Claimant(s) William B. Baker 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, Perry E. Wallace, Jr., 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 August 3, 1989 and not by the Respondents as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 Respondent shall be dismissed in its entirety.

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

November 9, 1989