

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Jeffrey Christiaansen

vs.

Claimant(s)

Shearson Lehman Hutton, Inc.
and Tom Bauman

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01821

CASE SUMMARY

Claimant(s) Jeffrey Christiaansen alleged that Respondent(s) Shearson Lehman Hutton, Inc. and Tom Bauman failed to execute Claimant buy order for stock. Respondent(s) have not responded to Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Jeffrey Christiaansen requested damages of Nine Hundred Twenty Five Dollars and No Cents (\$925.00).

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 June 16, 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 Respondents shall be jointly and severally liable to the Claimant for the total amount of Three Hundred Dollars and No Cents (\$300.00).

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

The \$15.00 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