

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Susan M. Anderson

Claimant(s)

vs.

Prudential-Bache
Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01895

CASE SUMMARY

Claimant(s) Susan M. Anderson alleged that Respondent(s) Prudential-Bache Securities, Inc. committed unauthorized and unsuitable transactions with respect to Claimant's investment. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Susan M. Anderson requested damages of One Thousand Five Hundred Forty Seven Dollars and No Cents (\$1,547.00). 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, Thomas B. Corey, 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 21, 1989 and by Respondent(s) on August 3, 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 be liable to the Claimant for the total amount of One Thousand Five Hundred Forty Seven Dollars and No Cents (\$1,547.00).

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) shall be retained by the NASD as costs in this proceeding and reimbursed by the Respondent to the Claimant.
October 25, 1989