

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Lester A. & Isabel  
M. Lawrence

Claimant(s)

vs.

Baker, Watts & Co.,  
and Dave Hannett

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-01929

CASE SUMMARY

Claimant(s) Lester A. & Isabel M. Lawrence alleged that Respondent(s) Baker, Watts & Co., and Dave Hannett handled Claimants' account in a negligent and irresponsible manner. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Lester A. & Isabel M. Lawrence requested damages of Five Thousand Dollars and No Cents (\$5,000.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, David N. Mahler, 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 19, 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 Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The claim against the Respondent is dismissed in all respects.

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 retained by the NASD as costs of this proceeding.

October 19, 1989