

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Joseph and Jeanne
Rocchio JTWROS

Claimant(s)

vs.

Equities International
Securities, Inc.

Respondent(s)

**NOTICE OF ARBITRATION
AWARD
89-01993**

CASE SUMMARY

Claimant(s) Joseph and Jeanne Rocchio JTWROS alleged that Respondent(s) Equities International Securities, Inc. negligently mishandled Claimants' account held with Respondent. Respondent(s) did not answer Claimants' allegations because Respondent ceased doing business prior to Claimant's filing the claim.

RELIEF REQUESTED

Claimant(s) Joseph and Jeanne Rocchio JTWROS requested damages of Two Thousand One Hundred Dollars and No Cents (\$2,100.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Ronee C. McLaughlin, 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 3, 1989 and by Respondent(s) on and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, 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 amount of Two Thousand One Hundred Dollars and No Cents (\$2,100.00).

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 of this proceeding and reimbursed by the Respondent to the Claimant.

October 26, 1989