

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Linda S. Padell

Claimant(s)

vs.

Prudential-Bache
Securities, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD

89-02524

CASE SUMMARY

Claimant(s) Linda S. Padell alleged that Respondent(s) Prudential-Bache Securities, Inc. mishandled Claimant's account. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Linda S. Padell requested damages of Nine Hundred Twelve Dollars and Fifty Cents (\$912.50). 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, Scott Sullivan Wallner, 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 September 1, 1989 and by Respondent(s) on November 13, 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 amount of Seventy Four Dollars and No Cents (\$74.00).

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 reimbursed to the Claimant by the Respondent.

February 26, 1990