

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

William R. Fry

Claimant(s)

vs.

The Ohio Company

Respondent(s)

AMENDED
NOTICE OF
ARBITRATION
AWARD
89-02605

THIS NOTICE OF ARBITRATION AWARD SUPERCEDES THE NOTICE OF
ARBITRATION AWARD DATED JANUARY 8, 1990

CASE SUMMARY

Claimant(s) William R. Fry alleged that Respondent(s) The Ohio Company overcharged commissions on exercise of options violations on existing oral and written contract. Respondent denies that it had any agreement to charge seven cents a share and that the Claimant was told specifically what rates would be charged.

RELIEF REQUESTED

Claimant(s) William R. Fry requested damages of Two Thousand Three Hundred Ninety Eight Dollars and Fifteen Cents (\$2,398.15), as amended by Claimant on November 21, 1989. 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, Deena Powell, 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 13, 1989 and by Respondent(s) on November 10, 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 is liable and shall pay to the Claimant the sum of Two Thousand Three Hundred Ninety Eight Dollars and Fifteen Cents (\$2,398.15).

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 refunded to the Claimant by the Respondent.

February 8, 1990