

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between :
:
SHELDON AND LOIS PLATEMAN :
:
: CLAIMANTS :
:
V. :
: #89-02744
P.B. JAMESON CO., INC. AND :
RUSSELL HADEN :
:
: RESPONDENTS :
:

AWARD

The undersigned, being the arbitrators selected to review and determine the matter in controversy between the Parties as set forth in submissions to arbitration signed by Claimants Sheldon and Lois Platemán on November 7, 1989 and responded to by Respondents, P.B. Jameson Co., Inc. and Russell Haden on January 16, 1990. The arbitration panel, having reviewed and considered the pleadings and the evidence presented by the Parties, have determined in full and final resolution of the issues submitted as follows:

1. The Settlement Agreement annexed hereto entered into by and between the Parties is incorporated by reference. Pursuant to said Agreement, Respondent agrees that Claimant is awarded the sum of One Thousand Five Hundred Dollars and no Cents (\$1,500.00) plus interest;
2. The Parties shall each bear their respective costs, including attorneys' fees;
3. Pursuant to Section 43 of the Code of Arbitration Procedure the NASD, Inc. shall retain the \$25.00 filing fee previously deposited by the Claimant;
4. Pursuant to Section 43 of the Code of Arbitration Procedure the Claimant shall pay to the NASD, Inc., through its staff administrator the sum of \$225.00 which represents one half of the balance of the non-refundable hearing deposit (\$475.00) owed by Claimant to the NASD, Inc.;

AWARD-#89-02744

5. Respondents, P.B. Jameson Co., Inc. and Russell Haden are jointly and severally assessed forum fees in the amount of \$250.00 to be paid to the NASD, Inc. through its staff administrator in accordance with Section 43 of the Code of Arbitration Procedure;

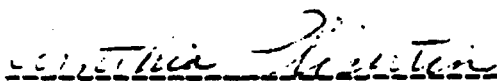
6. Claimant is assessed an additional \$50.00 for pre-hearing and post-hearing telephone conferences to be paid to the NASD, Inc. through its staff administrator in accordance with Section 43 of the Code of Arbitration Procedure;

7. Respondents, P.B. Jameson Co., Inc. and Russell Haden are jointly and severally assessed an additional \$50.00 for pre-hearing and post-hearing telephone conferences to be paid to the NASD, Inc. through its staff administrator in accordance with Section 43 of the Code of Arbitration Procedure.

CONCURRING ARBITRATORS



Richard Vallario, Esq.
(Public-Chairman)



Cynthia Plishtin
(Public-Panelist)



Louis Green
(Industry-Panelist)

FILED BY NASD
JANUARY 10 1991

MAILED 11:14
JAN 16 1991

December 3, 1990

To Whom It May Concern:

I consent to the entry of an award to Sheldon Flateman of \$1500.00 by the arbitration panel.

Payment is to be made in installments as follows: \$500.00 by December 5, 1990; \$500.00 by January 15, 1991; \$500.00 plus \$50.00 interest by February 28, 1991.

Interest is calculated at 12% from September 30, 1990 on the balance but is intended for use only in the case of default.

Sincerely,

A handwritten signature in cursive script that reads "Russell Haden".

Russell Haden
Respondent