

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Evans K. Whiting

Claimant(s)

vs.

Paul Freeman and
Dain Bosworth

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03004

CASE SUMMARY

Claimant(s) Evans K. Whiting alleged that Respondent(s) Paul Freeman and Dain Bosworth failed to execute a trade in a timely manner. Respondent(s) maintain that they have made every effort to resolve this matter with the Claimant in a fair and equitable manner.

RELIEF REQUESTED

Claimant(s) Evans K. Whiting requested damages of One Thousand Four Hundred Fifty Nine Dollars and No Cents (\$1,459.00). 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, Perry E. Wallace, Jr., 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 19, 1989 and by Respondent Paul Freeman on November 28, 1989 and Respondent Dain Bosworth on December 18, 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 shall be dismissed in its entirety.

The parties shall each bear their respective costs including attorney's fees.

Notice of Arbitration Award

Case No. 89-03004

Page 2

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.

March 6, 1990