

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between
Monty Fein

Claimant(s)

vs.

Easter Kramer Group Securities
Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03015

CASE SUMMARY

Claimant(s) Monty Fein alleged that Respondent(s) Easter Kramer Group Securities Inc. purchased securities in Claimants' account without authorization. Respondent(s) did not defend.

RELIEF REQUESTED

Claimant(s) Monty Fein requested damages of Five Thousand Six Hundred Ninety Two Dollars and No Cents (\$5,692.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Prudence W. Baldwin, 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 October 19, 1989 and not by Respondents as required by Sec 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 is liable and shall pay to the Claimant the sum of Five Thousand Six Hundred Ninety Two Dollars and No Cents (\$5,692.00).

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

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The \$200 filing fee previously deposited with the NASD, Inc. by the Claimant(s) is assessed against the Respondent and shall be refunded to the Claimant by the Respondent.

May 11, 1990