

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Bateman Eichler,
Hill Richards, Inc.

Claimant(s)

vs.

G.J. Stewart and
Rebecca Stewart

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03035

CASE SUMMARY

Claimant(s) Bateman Eichler, Hill Richards, Inc. alleged that Respondent(s) G.J. Stewart and Rebecca Stewart owes Claimant an amount that was erroneously credited into Respondents' account. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Bateman Eichler, Hill Richards, Inc. requested damages of Five Thousand One Hundred Six Dollars and No Cents (\$5,106.00). 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, Delores I. Smith, 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 October 27, 1989 and not by the Respondents as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the claim of the Claimant is hereby dismissed without prejudice per attached addendum.

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

Notice of Arbitration Award

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The \$700.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

September 7, 1990