

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert and Kathryn Wilcox

Claimant(s)

vs.

Prudential-Bache Securities, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03151

CASE SUMMARY

Claimant(s) Robert and Kathryn Wilcox alleged that Respondent(s) Prudential-Bache Securities, Inc. negligently mishandled Claimants' transfer order. Respondent(s) denies Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Robert and Kathryn Wilcox requested damages of Three Hundred Seventy Four Dollars and No Cents (\$374.00). 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, Scott Wallner, 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 January 29, 1990 and by Respondent(s) on March 20, 1990, 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 shall be liable to the Claimant for the amount of \$100.00.

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

The \$15 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD for costs of this proceeding.

May 8, 1990