

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Barry Mott

Claimant(s)

vs.

Ken Ashe

Respondent(s)

**NOTICE OF
ARBITRATION
AWARD**

89-03374

CASE SUMMARY

Claimant(s) Barry Mott alleged that Respondent(s) Ken Ashe churned Claimant's account. Respondent denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Barry Mott requested damages of One Thousand Six Hundred Fifty Dollars and No Cents (\$1,650.00). 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, William Zysk, 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 November 27, 1989 and by Respondent(s) on March 30, 1990, respectively;

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 in all respects.

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent.

May 23, 1990