

Arbitration

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National Association of  
Securities Dealers, Inc.  
425 California St., Rm. 1400  
San Francisco, CA 94104  
(415) 781-3343  
FAX: (415) 362-9946

N.A.S.D. AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS

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In the Matter of the Arbitration Between

Name of Claimant(s)

Joseph K. Bradley

89-03405

Name of Respondent(s)

University Equities Corp.

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SUMMARY OF ISSUES

This case was filed with the National Association of Securities Dealers, Inc. ("NASD") on December 5, 1989.

Claimant Joseph K. Bradley (Bradley) alleges that he invested in a U.S. Government Fund through Respondent University Equities Corporation (University). Bradley claims that he was misled as to the costs and commissions charged by University and that had he known, he would not have invested in the fund.

University alleges that Bradley was informed of the fee involved and was given a prospectus that outlined the charges.

DAMAGES AND RELIEF REQUESTED

Claimant seeks to recover an amount according to proof plus costs.

Respondent seeks dismissal of the claim in its entirety.

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DAMAGES AND RELIEF AWARDED

On September 11, 1990, the undersigned arbitrator heard the controversy between the parties as set forth in submissions to arbitration signed by Claimant Joseph K. Bradley on November 21, 1989 and by Respondent University Equities Corporation on February 2, 1990. The hearing was conducted in Seattle, WA and lasted 1 session. The arbitrator, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted for determination as follows:

1. Respondent University Equities Corporation is liable and shall pay to claimant Joseph K. Bradley the sum of One Thousand Four Hundred Eighty-Five Dollars and No Cents (\$1,485.00)
2. No interest is awarded.
3. The parties shall each bear their respective costs including attorneys' fees.
4. In accordance with Section [43] of the NASD Code of Arbitration Procedure, the NASD shall refund the \$25.00 filing fee previously deposited by the Claimant as an assessment of forum fees by the arbitrator. In addition, Respondent University Equities Corporation is assessed fees of \$25.00 for forum fees, made payable to the National Association of Securities Dealers.

Arbitrator(s) Signature

  
Katherine Hendricks