

NATIONAL ASSOCIATION OF SECURITIES DEALERS

\* In the Matter of the Arbitration Between

Jay Nathan

Claimant(s)

vs.

Alan Bush Brokerage Co., Carol Whelpley,  
J.W. Charles Bush and  
Michael A. Solomon

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD

89-03465

CASE SUMMARY

Claimant(s) Jay Nathan alleged that Respondent(s) Alan Bush Brokerage Co., Carol Whelpley, J.W. Charles Bush and Michael A. Solomon negligently mishandled Claimant's account held with Respondents. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Jay Nathan requested damages of Three Thousand Six Hundred Dollars and No Cents (\$3,600.00). 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 Sullivan Wallner, 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 25, 1989 and by Respondent(s) on March 21, 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 Respondents are jointly and severally liable and shall pay to the Claimant the sum of One Thousand Dollars and No Cents (\$1,000.00).

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

Notice of Arbitration Award

Case No. 89-03465

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

June 6, 1990