

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Herbert W. and Lorraine F.
Schlawiedt, Trustees

Claimant(s)

vs.

Doug Barker and
Securities Settlement Corp.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
90-00019

CASE SUMMARY

Claimant(s) Herbert W. and Lorraine F. Schlawiedt, Trustees alleged that Respondent(s) Doug Barker and Securities Settlement Corp. negligently mishandled Claimants' account. Respondent(s) deny Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Herbert W. and Lorraine F. Schlawiedt, Trustees requested damages of Five Hundred Dollars and No Cents (\$500.00). 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 December 11, 1989 and by Respondent(s) on February 1, 1990 and February 14, 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 Respondent Doug Barker is solely liable to the Claimant for the total amount of Three Hundred Dollars and No Cents (\$300.00), and;

That the claim against Securities Settlement Corp. is dismissed in all respects.

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

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent Doug Barker.

April 9, 1990