

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

John N. Taylor, Jr. on behalf of  
Margaret Helen Taylor

Claimant(s)

vs.

Prudential-Bache  
Securities, Inc.

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
90-00055

CASE SUMMARY

Claimant(s) John N. Taylor, Jr. on behalf of Margaret Helen Taylor alleged that Respondent(s) Prudential-Bache Securities, Inc. failed to advise Claimants prior to executing a transaction in Claimant's account. Respondent maintains it is not a proper party to this proceeding, as the alleged wrongdoing occurred while the account was still with Thomson McKinnon Securities, Inc. Respondent Thomson McKinnon Securities, Inc. filed a petition under Chapter 11 of the Bankruptcy Code.

RELIEF REQUESTED

Claimant(s) John N. Taylor, Jr. on behalf of Margaret Helen Taylor requested damages of Two Thousand Two Hundred Five Dollars and No Cents (\$2,205.00). 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, David I. Bursten, 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 22, 1989 and by Respondent(s) on April 27, 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.

Notice of Arbitration Award  
Case No. 90-00055  
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The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

May 31, 1990