

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

In the Matter of the Arbitration Between  
David Pollock

Claimant(s)

vs.

Prudential-Bache Securities,  
Inc. and Mark Tasher

Respondent(s)

**NOTICE OF  
ARBITRATION  
AWARD  
90-00081**

**CASE SUMMARY**

Claimant(s) David Pollock alleged that Respondent(s) Prudential-Bache Securities, Inc. and Mark Tasher wrongfully charged a redemption fee. Respondent(s) maintain that the Claimant knew, or in the exercise of reasonable diligence, should have known, that he would incur a redemption charge when he elected to transfer his KEOGH account directly to the new custodian.

**RELIEF REQUESTED**

Claimant(s) David Pollock requested damages of Two Hundred Fifty Eight Dollars and No Cents (\$258.00). 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 January 20, 1990 and by Respondent(s) on March 1, 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  
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The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

April 9, 1990