

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Rudy A.M. Malizia

Claimant(s)

vs.

Daley Securities, Inc.,
Robert Waitkus, and
Robert Donellan

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
90-00204

CASE SUMMARY

Claimant(s) Rudy A.M. Malizia alleged that Respondent(s) Daley Securities, Inc., Robert Waitkus, and Robert Donellan negligently mishandled Claimant's account held with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Rudy A.M. Malizia requested damages of Seven Thousand Eight Hundred Fifty Eight Dollars and No Cents (\$7,858.00). 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, Perry E. Wallace, Jr., 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 February 22, 1990 and by Respondent(s) on April 18, 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.

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

August 24, 1990