

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Barbara Goldman

Claimant(s)

vs.

Shelter Rock Securities Corp.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
90-00276

CASE SUMMARY

Claimant(s) Barbara Goldman alleged that Respondent(s) Shelter Rock Securities Corp. failed to execute a trade in a timely manner. Respondent(s) did not defend.

RELIEF REQUESTED

Claimant(s) Barbara Goldman requested damages of Six Hundred Dollars and No Cents (\$600.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Deena Powell, 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 24, 1990 and not by Respondents as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The Respondent is liable and shall pay the sum of Six Hundred Dollars and No Cents (\$600.00) to the Claimant.

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

The \$15 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent.

April 5, 1990