

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Neal Stevens tte
F. Ruth Hulland Trust

Claimant(s)

vs.

Kemper Technology Fund

Respondent(s)

**NOTICE OF
ARBITRATION
AWARD
90-00374**

CASE SUMMARY

Claimant(s) Neal Stevens tte F. Ruth Hulland Trust alleged that Respondent(s) Kemper Technology Fund failed to transfer 7,960.174 shares to Florence Ruth Hulland Living Trust and instead sold the shares, causing a loss of \$7,060.55. Respondent(s) maintain that Claimants losses were caused by its failure to provide clear instructions.

RELIEF REQUESTED

Claimant(s) Neal Stevens tte F. Ruth Hulland Trust requested damages of Seven Thousand Two Hundred Sixty One Dollars and No Cents (\$7,261.00). 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, Daniel Eugene Bivins III, 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 2, 1990 and by Respondent(s) on April 23, 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 is liable and shall pay to the Claimant the sum of Two Thousand Five Hundred Forty Seven Dollars and Twenty Five Cents (\$2,547.25).

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

Notice of Arbitration Award
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The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent.

July 5, 1990