

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

In the Matter of the Arbitration Between

Mary Tucker McCall

Claimant(s)

vs.

Banc One Securities, Inc.  
and Thomas J. Flood

Respondent(s)

**NOTICE OF  
ARBITRATION  
AWARD  
90-00926**

**CASE SUMMARY**

Claimant(s) Mary Tucker McCall alleged that Respondent(s) Banc One Securities, Inc. and Thomas J. Flood misrepresented material facts as to Claimant's investment made through Respondents. Respondent(s) deny Claimant's allegations.

**RELIEF REQUESTED**

Claimant(s) Mary Tucker McCall requested damages of Five Thousand Dollars and No Cents (\$5,000.00). 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, Thomas B. Corey, 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 March 28, 1990 and by Respondent(s) on May 3, 1990 and May 16, 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 Banc One Securities, Inc. is liable and shall pay to the Claimant the sum of Four Hundred Twelve Dollars and Thirty Seven Cents (\$412.37), and;

That the Respondent Thomas J. Flood is liable and shall pay to the Claimant the sum of Four Hundred Twelve Dollars and Thirty Seven Cents (\$412.37).

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

Notice of Arbitration Award  
Case No. 90-00926  
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The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent Banc One Securities, Inc..

July 13, 1990