

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between :
:
Gay E. Dall :
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:
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Claimant : CASE #90-01707
: AWARD
:
vs. :
:
:
Prudential-Bache Securities, Inc. :
:
Respondent :

CASE SUMMARY

Gay E. Dall, in a claim filed with the National Association of Securities Dealers, Inc. on June 18, 1990, alleged that Respondent Prudential-Bache Securities, Inc. executed unauthorized trades, charged excessive commissions and recommended unsuitable investments.

Respondent, Prudential-Bache Securities, Inc., maintained that all trades were made according to Claimant's instructions and according to her own investment strategy.

RELIEF REQUESTED

Claimant requested Five Thousand Dollars and No Cents (\$5,000.00) in damages.

AWARD

Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, Robert L. Agosto, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on June 11, 1990 and by the Respondent on August 27, 1990, respectively;


And, that the Arbitrator, having considered the proof of the Parties, has decided in full and final resolution of the issues submitted for determination as follows:

1. The claim of Gay E. Dall is dismissed.

2. The parties shall bear their respective costs including attorney's fees.
3. The One Hundred Dollar and No Cents (\$100.00) filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained by the NASD, Inc.

AFFIRMATION

I, Robert L. Agosto, do hereby affirm upon my oath as arbitrator that I am the individual described herein and who executed this instrument, which is my oath and award.


Signature of Arbitrator

DATED: December 2, 1990