

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between :

Mary Nancy Ross :

Claimant :

vs. :

Ron Bauer :

Respondent :

CASE #90-02380
AWARD

CASE SUMMARY

In a claim filed with the National Association of Securities Dealers, Inc. on August 28, 1990, Claimant, Mary Nancy Ross, who appeared Pro Se, alleged that Respondent Ron Bauer, while employed by Tri-Bradley Investments, solicited her to purchase penny stock in American Aircraft, and at a later date, sold the stock without her authorization, in order to purchase USA Fastlube without her authorization. The Claimant further alleged that the Respondent misled her into purchasing Diversitech stock which was not even a registered security. The Claimant also alleged that these types of securities were unsuitable investments for her financial situation.

Respondent, Ron Bauer, failed to file an Answer to the Statement of Claim.

RELIEF REQUESTED

Claimant, Mary Nancy Ross requested \$2,500.00 in actual damages, plus interest.

Respondent, Ron Bauer failed to file an answer to the Statement of Claim.

AWARD

Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, Ralph M. Holman, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on July 18,

1990 and not by the Respondent as required by Sections 12 & 13 of the NASD Code of Arbitration Procedure.

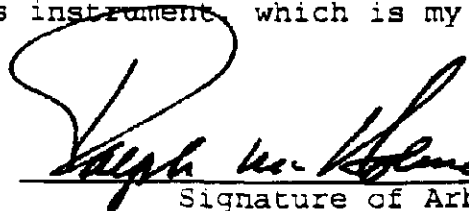
1. In accordance with Section 13 of the NASD Code of Arbitration Procedure, although reasonable attempts were made to effect service on Respondent Ron Bauer, service was not effected as indicated by the return of certified mail package marked "unclaimed".

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

1. The claims of the Claimant, Mary Nancy Ross against Respondent, Ron Bauer are dismissed without prejudice.
2. The parties shall bear their respective costs.
3. The \$50.00 filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained by the NASD, Inc.

AFFIRMATION

I, **RALPH M. HOLMAN**, 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

DATE OF DECISION: April 10, 1992