

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between :

Allen St. Lawrence :

Claimant :

vs. :

Scott Nennig :

Respondent :

CASE #91-00464
AWARD

CASE SUMMARY

Allen St. Lawrence, Pro Se, in a claim filed with the National Association of Securities Dealers, Inc. on February 12, 1991, alleged that Respondent Scott Nennig, while a broker with Thomson McKinnon Securities, Inc. executed two unauthorized trades in his customer account. He states that these trades were purchases of three put options 100 major MKT index and eight put options S & P 100 index.

Respondent Scott Nennig did not file a Statement of Answer to the Statement of Claim since the NASD could not effect service of the Statement of Claim upon him.

RELIEF REQUEST

Claimant Allen St. Lawrence requested damages of Two Thousand One Hundred Ninety-Nine Dollars and Sixty-Three Cents (\$2,199.63). Respondent Scott Nennig did not file a Statement of Answer to the Statement of Claim since the NASD could not affect service of the Statement of Claim upon him.

AWARD

Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, Stanley F. Hack, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant Allen St. Lawrence on February 4, 1991 and not signed by the Respondent Scott Nennig since the NASD could not affect service of the Statement of Claim upon him.

And, that 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. Respondent Scott Nennig is liable and shall pay to the Claimant Allen St. Lawrence the sum of Two Thousand One Hundred Ninety-Nine Dollars and Sixty-Three Cents (\$2,199.63).
2. The parties shall bear any respective costs.
3. The Twenty-Five Dollar filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained.

AFFIRMATION

I, STANLEY F. HACK, ESQ., 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

10/28/91

DATED:

Oct 28 1991