

N.A.S.D. AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS

National Association of
Securities Dealers, Inc.
NASD Financial Center
33 Whitehall Street
New York, N.Y. 10004
FAX (212) 858-4389

In the Matter of the Arbitration BetweenName of Claimants

Gabriel R. and Laura M. Galletto

91-03136

Name of Respondents

Princeton Financial Group Inc.

REPRESENTATION

For Claimant: The Claimants appeared pro se.

For Respondent: The Respondent did not appear.

CASE INFORMATION

Statement of Claim filed: October 8, 1991.

Claimant's Submission Agreement signed on: October 2, 1991

The Respondent did not file a Statement of Answer as required pursuant to Section 13 of the Code of Arbitration Procedure or sign a submission agreement as required pursuant to Section One of the Code of Arbitration Procedure.

CASE SUMMARY

Claimants alleged that they were not notified by Respondent of a change in the expiration date of warrants that they owned and, therefore, should be reimbursed the value of the warrants.

RELIEF REQUESTED

Claimants requested damages of \$1,468.75

AWARD

Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, Arnold L. Goren was selected to review and determine the matter in controversy between the parties.

STATE OF: New York
COUNTY OF: New York

S.S.:

On this 10th day of April, 1992, before me personally appeared **Arnold L. Goren** known and known to me to be the individual described in and who executed the foregoing instrument and be duly acknowledged to me that he executed the same.

Betty J. Allen

BETTY J. ALLEN
Notary Public, State of New York
No. 31-4722188
Qualified in New York County
Commission Expires Dec. 31, 1992

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. In accordance with Section 13 the Code of Arbitration Procedure the Respondent was served with a copy of the Statement of Claim which was returned and marked by the post office as "moved left no address".
2. The claims of the Claimant be and hereby are dismissed without prejudice as the Respondent could not be properly served with the Statement of Claim.

FORUM FEES

Pursuant to Section 43c of the Code of Arbitration Procedure the NASD shall retain the \$50.00 filing fee previously deposited by the Claimant.

Name

Arnold L. Goren
Arnold L. Goren

Public/Industry

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Date of Decision: April 14, 1992