

N.A.S.D. AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the matter of the Arbitration Between

Name of Claimant

Jerry Kelleher

NASD Arbitration
#95-01455

vs.

Name of Respondents

Cartwright & Walker
Dimitri Mishiev

REPRESENTATION

Claimant represented himself.

Respondent Cartwright & Walker made no appearance.

CASE INFORMATION

Statement of Claim filed: March 23, 1995

Claimants' Submission Agreement signed: March 14, 1995

Respondent Cartwright & Walker did not file an Answer and did not execute a submission agreement.

HEARING INFORMATION

The hearing was held in San Francisco, California, on September 6, 1995, and lasted one session.

CASE SUMMARY

Claimant alleged Respondent failed to execute a buy order on September 14, 1994, for 100 common shares of Metro Wireless Interactive Corp., and instead purchased 95 shares on October 4, 1994. Claimant further alleged Respondent failed to execute his order to sell his position in the stock on September 27, 1994.

RELIEF REQUESTED

Claimant requested damages of \$3500.

OTHER ISSUES CONSIDERED & DECIDED

Respondent Dimitri Mishiev settled with Claimant prior to hearing and was removed as a Respondent.

Respondent Cartwright & Walker, although served with the claim and the notice giving the time and place of the hearing, filed no responsive pleadings and did not enter an appearance at the hearing. The undersigned arbitrator determined that the NASD has jurisdiction with respect to this Respondent.

AWARD

After considering the pleadings, the testimony and the evidence presented at the hearing, the undersigned arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent Cartwright & Walker is liable for and shall pay to Claimant the sum of \$2388 in satisfaction of all claims.

FORUM FEE

Pursuant to Section 43(c) of the Code of Arbitration Procedure, the NASD shall retain the \$50.00 non-refundable filing fee paid by Claimant, and shall refund the \$225 hearing session deposit paid.

Respondent Cartwright & Walker is assessed forum fees of \$200 for 1 session, payable to the NASD, Inc.

ARBITRATOR

Name	Public / Industry
Helen B. Culiner	Public

Helen B. Culiner
Helen B. Culiner

Date of Decision: 9/6/95

Date Served: 9/19/95