

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Kathryn A. Dunn

Claimant(s)

vs.

**Stoneridge Securities, Inc.
and Ronald Wheeler, Sr.**

Respondent(s)

**NOTICE OF ARBITRATION
AWARD
88-01327**

CASE SUMMARY

Claimant(s) Kathryn A. Dunn alleged that Respondent(s) Stoneridge Securities, Inc. and Ronald Wheeler, Sr. failed to execute a trade. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Kathryn A. Dunn requested damages of Six Hundred Twenty One Dollars and No Cents (\$621.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Richard J. Meunier, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on April 12, 1989 and not by Respondent(s) as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim of the Claimant is hereby dismissed in all respects.

The parties shall each bear their respective costs including attorney's fees.

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

August 15, 1989