

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James D. and  
Janet L. Jones

Claimant(s)

vs.

Jim Clark

Respondent(s)

AWARD

88-02651

The Arbitrator, Neill Edward Hannon, Esq., selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the Claimant on August 1, 1988 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondent is liable and shall pay to the Claimant the sum of Eight Hundred Fifty Dollars and No Cents (\$850.00);

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$15.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be refunded to the Claimant by the Respondent.

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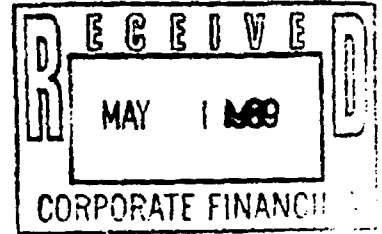
James D. and Janet L. Jones

Claimant

and

Jim Clark

Respondent(s)



OATH OF  
ARBITRATOR

88-02651

Having been selected as an arbitrator to consider the matter in controversy between the above-captioned parties, I solemnly swear and affirm that:

- I am not an employer of, employed by or related by blood or marriage to any of the parties or witnesses whose names have been disclosed to me, and
- I have no interest directly or indirectly in this proceeding, and
- I know of no existing or past financial, business, professional, family or social relationship which would impair me from performing my duties, and
- I shall consider and decide the controversy faithfully and fairly and render a just award to the best of my understanding.

  
Neill Edward Hannon

STATE OF Calif ss.:  
COUNTY OF San Francisco

On this 27th day of April 1969, before me personally appeared Neill Edward Hannon to me known and known before me to be the individual described in and who executed the foregoing instrument and he duly acknowledged to me that he executed the same.

