

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Timothy A. and Beverly Keller

Claimant(s)

vs.

Diversified Equities Corp.  
and Profile Investments Corp.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-02817

CASE SUMMARY

Claimant(s) Timothy A. and Beverly Keller alleged that Respondent(s) Diversified Equities Corp. and Profile Investments Corp. committed unauthorized trading in Claimants' account held with Respondent. Respondent(s) deny Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Timothy A. and Beverly Keller requested damages of Two Thousand Dollars and No Cents (\$2,000.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Perry E. Wallace, Jr., 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 August 18, 1988 and not by the Respondent 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 Respondents shall be jointly and severally liable to the Claimant for the amount of Two Thousand Dollars and No Cents (\$2,000.00).

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD, Inc. as costs of this proceeding.

September 27, 1989