

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Wayne W. Mohr & Lola J. Mohr

vs.

Claimant(s)

Blunt Ellis & Loewi, Steven
Mooberry and Sidney Carlson

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00733

CASE SUMMARY

Claimant(s) Wayne W. Mohr & Lola J. Mohr alleged that Respondent(s) Blunt Ellis & Loewi, Steven Mooberry and Sidney Carlson failed to provide Prospectives prior to the sale of certain Securities to Claimant and did not disclose the exact amount of the sales charge. Respondent(s) maintain that there were no hidden sales charges and the Prospectives was mailed shortly after the purchase.

RELIEF REQUESTED

Claimant(s) Wayne W. Mohr & Lola J. Mohr requested damages of One Thousand, Eight Hundred, Seventy Four Dollars and Ninety Four Cents (\$1,874.94). 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, Neill Edward Hannon, 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 March 2, 1989 and by Respondent(s) on April 20 and May 3, & 5-15 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The three Respondents share joint and several liability and shall pay to Claimant the sum of One Thousand, Eight Hundred, Seventy Four, Dollars and Ninety Four Cents (\$1,874.94).

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) is assessed against the Respondents and shall be refunded to the Claimant by the Respondent.

October 4, 1989