

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Dennis W. Miller

Claimant(s)

vs.

Dillon Securities and Warren
& Brown Associates, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01082

CASE SUMMARY

Claimant(s) Dennis W. Miller alleged that Respondent(s) Dillon Securities and Warren & Brown Associates, Inc. failed to execute a transaction. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Dennis W. Miller requested damages of Two Thousand Six Hundred Sixty Eight Dollars and No Cents (\$2,668.00). 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, H. Victor Schwimmer, 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 6, 1989 and by Respondent(s) on May 5, 1989 and May 26, 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 Respondent, Warren & Brown Associates, Inc., is liable and shall pay the sum of One Thousand Two Hundred Dollars and No Cents (\$1,200.00) to the Claimant.

The Claimant's claim against Dillon Securities is dismissed in its entirety.

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 refunded to the Claimant by the Respondent Warren & Brown Associates, Inc.

November 13, 1989