

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Beverly L. Weber

Claimant(s)

vs.

Dillon Securities, Inc.  
and Thomas Dillon

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
89-01301

CASE SUMMARY

Claimant(s) Beverly L. Weber alleged that Respondent(s) Dillon Securities, Inc. and Thomas Dillon negligently mishandled Claimant's account. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Beverly L. Weber requested damages of One Thousand Eight Hundred Dollars and No Cents (\$1,800.00) plus interest. 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, Richard C. Moenning, 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 14, 1989 and by Respondent(s) on July 6, 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 Respondents are jointly and severally liable to the Claimant for the amount of One Thousand Eight Hundred Dollars and No Cents plus 12% interest per annum from October 1, 1987 to February 23, 1990, and;

The Respondents are directed to transmit a copy of this award to the NASD Disciplinary Board and to the State of Washington Securities Director for investigation and possible disciplinary action.

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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 reimbursed to the Claimant by the Respondent.

February 26, 1990