

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Omar Corp.

Claimant(s)

vs.

Merrill Lynch, Pierce,
Fenner & Smith, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01322

CASE SUMMARY

Claimant(s) Omar Corp. alleged that Respondent(s) Merrill Lynch, Pierce, Fenner & Smith, Inc. made misrepresentations and failed to follow instructions. Respondent(s) deny all allegations of wrongdoing.

RELIEF REQUESTED

Claimant(s) Omar Corp. requested damages of One Thousand Six Hundred Thirty Nine Dollars and No Cents (\$1,639.00). 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, Nelson P. Lovins, 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 18, 1989 and by Respondent(s) on July 11, 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 claim of the Claimant is hereby 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 retained by the NASD as costs of this proceeding.

October 2, 1989