

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Thomas and Carol Miller

Claimant(s)

vs.

The Stuart-James Co.
and Jann Sand-Lin

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01365

CASE SUMMARY

Claimant(s) Thomas and Carol Miller alleged that Respondent(s) The Stuart-James Co. and Jann Sand-Lin misrepresented material facts with respect to Claimants' investment with Respondents. Respondent(s) deny Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Thomas and Carol Miller requested damages of Three Thousand Dollars and No Cents (\$3,000.00). 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, Thomas B. Corey, 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 June 23, 1989 and by Respondent(s) on August 9, 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 against the Respondents shall be dismissed in its entirety.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

November 22, 1989