

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Albert Andre

Claimant(s)

vs.

Amerimutual Corp. and
Richard C. Avon

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01524

CASE SUMMARY

Claimant(s) Albert Andre alleged that Respondent(s) Amerimutual Corp. and Richard C. Avon made misrepresentations. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Albert Andre requested damages of One Thousand Three Hundred Sixty Five Dollars and No Cents (\$1,365.00).

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 March 21, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 and shall pay the sum of One Thousand Three Hundred Thirty Five Dollars and No Cents (\$1,335.00) to the Claimant.

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 Respondents.

October 2, 1989