

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Shizuko Yoka

Claimant(s)

vs.

First Interstate Capital Markets,
Kemper Financial Services
and Dennis B. Adams

Respondent(s)

NOTICE OF
ARBITRATION
AWARD

89-02081

CASE SUMMARY

Claimant(s) Shizuko Yoka alleged that Respondent(s) First Interstate Capital Markets, Kemper Financial Services and Dennis B. Adams misrepresented material facts as to Claimant's investment with Respondents. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Shizuko Yoka requested damages of Four Thousand Seventy Eight Dollars and Eighty Eight Cents (\$4,078.88). 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, Scott Sullivan Wallner, 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 30, 1989 and by Respondent(s) on September 20, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the claim of the Claimant is dismissed in all respects.

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.

April 9, 1990