

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

John A. Foster

Claimant(s)

vs.

Amerimutual Corp.

Respondent(s)

**NOTICE OF
ARBITRATION
AWARD**

89-02675

CASE SUMMARY

Claimant(s) John A. Foster alleged that Respondent(s) Amerimutual Corp. made misrepresentations. Respondent maintains that the Claimant's allegation that he was sold worthless stock is blatantly unfounded.

RELIEF REQUESTED

Claimant(s) John A. Foster requested damages of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00). 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, Roneé C. McLaughlin, 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 November 17, 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 Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the Respondent is liable and will pay to the Claimant the sum of One Thousand Two Hundred Fifty Dollars and No Cents (\$1,250.00).

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) will be refunded to the Claimant by the Respondent.

April 2, 1990

RELIEF REQUESTED

Claimant(s) John A. Foster requested damages of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00). Respondent(s) requested dismissal of claim and costs.

The undersigned being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant(s) and Respondent(s), set forth in a submission to Arbitration signed by the Claimant on November 17, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

And, that having reviewed and considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined that in full and final settlement of the above-captioned matter,

C H E C K L I S T

51-604-

Note: Fill out only those sections which apply to this particular case:

- 1) Find for the Claimant
(a) total amount of the award: \$ 1250
(b) if two or more respondents are liable:
 (1) joint and severally liable: yes _____ no _____
 (2) if respondents separately liable
 list party and the amounts: _____

- 2) Case Dismissed _____
- 3) Counterclaim of Respondent
(a) total amount of award: \$ _____
(b) party to receive award: _____
(c) counterclaim dismissed: _____
- 4) Punitive Damages
(a) total amount \$ _____
(b) name parties against whom damages are to be
 assessed and in what amounts: _____

- (c) claim dismissed: _____
- 5) NASD Fee
(a) assessed against Claimant _____
(b) assessed against Respondent
- 6) Use this space to expand or clarify any part of the
 decision above or to indicate other forms of specific
 relief.

Affirmation

STATE OF Massachusetts

} SS:
}

COUNTY OF Middlesex

I, Ronée C. McLaughlin, do hereby affirm upon my oath
as arbitrator that I am the individual described in and who
executed this instrument, which is my oath and award.

3/26/50

(DATE)

Ronée C. McLaughlin

(SIGNATURE OF ARBITRATOR)