

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Greg and Deborah Hill JTEN

Claimant(s)

vs.

First Alliance Securities, Inc.,
William F. Lincoln and Dawn Dailey

Respondent(s)

**NOTICE OF
ARBITRATION
AWARD
89-03198**

CASE SUMMARY

Claimant(s) Greg and Deborah Hill JTEN alleged that Respondent(s) First Alliance Securities, Inc., William F. Lincoln and Dawn Dailey misrepresented material facts as to Claimants' investment with Respondent. Respondent Dawn Dailey denies Claimants' allegations. Respondents First Alliance Securities, Inc. and William F. Lincoln did not respond.

RELIEF REQUESTED

Claimant(s) Greg and Deborah Hill JTEN requested damages of Eight Thousand Three Hundred Dollars and No Cents (\$8,300.00). 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, Langdon T. Owen, Jr., 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 11, 1989 and by Respondent Dawn Dailey on January 4, 1990, and not by the Respondents First Alliance Securities, Inc. and William F. Lincoln as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, 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 motion by the Respondent Dawn Dailey to consolidate this case with case no. 89-03293 is hereby denied, and;

That the motion by Respondent Dawn Dailey to compel evidence is hereby denied;

That the motion by Respondent Dawn Dailey to dismiss is hereby denied.

That the Respondents are jointly and severally liable and shall pay to the Claimant the sum of Eight Thousand Three Hundred Dollars and No Cents (\$8,300.00).

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

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be jointly and severally refunded to the Claimant by the Respondents.

August 1, 1990