

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Leon A. Illerbrun

Claimant(s)

vs.

Larry R. Johnson and
R.B. Marich, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03200

CASE SUMMARY

Claimant(s) Leon A. Illerbrun alleged that Respondent(s) Larry R. Johnson and R.B. Marich, Inc. negligently and fraudulently mishandled Claimant's account held with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Leon A. Illerbrun requested damages of Ten Thousand Dollars and No Cents (\$10,000.00). 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, William C. Zysk, 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 October 26, 1989 and by Respondent(s) on January 9, 1990, 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 Respondents are jointly and severally liable to the Claimant for the total sum of Three Thousand Nine Hundred Fifty Dollars and Fifty Three Cents (\$3,950.53), and;

That the cross-claim of the Respondent R.B. Marich & Co., Inc. against Respondent Larry R. Johnson is hereby dismissed in its entirety.

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

Notice of Arbitration Award

Case No. 89-03200

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

March 26, 1990