

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

|  |   |                |
|--|---|----------------|
| In the Matter of the Arbitration Between | : |                |
|  | : |                |
| John Prince                              | : |                |
| Claimant                                 | : |                |
|  | : | AWARD          |
| vs.                                      | : | Case #89-03207 |
|  | : |                |
| Monmouth Investments, Inc.               | : |                |
| John Freeman                             | : |                |
| David Haber                              | : |                |
| Steve Hersh                              | : |                |
| Ann Trenton                              | : |                |
| Larry Zuliani                            | : |                |
| Ed Ransom                                | : |                |
| Respondents                              | : |                |

CASE SUMMARY

Claimant asserts that he purchased stock of Corporate Capital Resources on the basis of misinformation, and without ever receiving a prospectus. Further he asserts the investment was riskier than appropriate.

RELIEF REQUESTED

Claimants seeks \$27,122.00.

Respondents seek dismissal of claim.

AWARD

On August 29 and September 17, 1990 the undersigned arbitrator heard the controversy between the parties as set forth in submissions to arbitration signed by Claimant on November 7, 1989. The arbitrator having considered the pleadings, the testimony, and the evidence presented at the hearing and the papers submitted subsequently has determined in full and final resolution of the issues submitted for determination as follows:

1. Claimant is awarded \$27, 122.00 as against Monmouth Investments, Inc., John Freeman and David Haber jointly and severally;
2. Claims against Steve Hersh, Ann Trenton, Larry Zuliani and Ed Ransom are dismissed;

3. The parties shall each bear their respective costs including attorneys' fees;

4. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall retain the \$400.00 ~~filing fee previously deposited by the Claimant towards costs of the two (2)~~ hearing sessions conducted in this matter, and assess \$300.00 against Monmouth Investments, Inc., John Freeman and David Haber jointly and severally.

PRESIDING ARBITRATOR

/s/

D. Joan Sampieri

**DATED: January 9, 1991**