

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between

Inanda J. Mohr

Claimant

Case #91-02187
AWARD

vs.

Rick LaBare

Respondent

CASE SUMMARY

Pro Se Claimant, Inanda J. Mohr, in a claim filed with the National Association of Securities Dealers, Inc. on July 17, 1991, alleged that Respondent Rick LaBare of Shearson Lehman Brothers, Inc. provided misleading information concerning Lifetime Government Income Plus Trust, a government security. She asserts that she was misled into investing in a security in which her main objective, preservation of capital, was not met.

Respondent, Rick LaBare did not file an answer to the Statement of Claim.

RELIEF REQUESTED

Claimant, Inanda J. Mohr requested damages of Three Thousand One Hundred Eighty Six Dollars and No Cents (\$3,186.00) and One Thousand Dollars and No Cents (\$1,000.00) in punitive damages.

Respondent, Rick LaBare did not file an answer to the Statement of Claim.

AWARD


Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, James Knowles, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on July 10, 1991 and not by the Respondent as required by Section 13(d) of the Code of Arbitration Procedure. Rick LaBare failed to answer the original service of the Statement of Claim served on July 17, 1991. On August 22, 1991 a notice of overdue answer was sent via certified mail to the Respondent. The package was successfully delivered on August 27, 1991 as evidenced by the National Association of Securities Dealers, Inc.'s receipt of the green card. Rick LaBare failed to file an answer pursuant to Sections 12 and 13 of the Code of Arbitration Procedure.

And, the Arbitrator, having considered the proof of the Parties, has decided and determined in full and final resolution of the issues submitted for determination as follows:

1. The claims of the Claimant, Inanda J. Mohr, against Respondent, Rick LaBare are dismissed.
2. The parties shall bear their respective costs.
3. The One Hundred and Twenty Five Dollar and No Cents (\$125.00) filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained by the National Association of Securities Dealers, Inc. and is assessed against the Respondent Rick LaBare who shall pay One Hundred and Twenty Five Dollars and No Cents (\$125.00) to Inanda J. Mohr as reimbursement.

AFFIRMATION

I, JAMES^M KNOWLES, do hereby affirm upon my oath as arbitrator that I am the individual described herein and who executed this instrument, which is my oath and award.



Signature of Arbitrator

DATED BY THE NASD, INC. 4 DECEMBER 10, 1991