

N.A.S.D. AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
In the matter of the Arbitration Between

Name of Claimant

Toluca Pacific Securities Corporation

v.

NASD Arbitration
No. 93-02524

Name of Respondent

Jeffrey Dabbs

REPRESENTATION

For Claimant: Peter Blowitz, Toluca Pacific Securities Corporation,
Burbank, California

For Respondent: Jeffrey Dabbs,
Calabasas, California

CASE INFORMATION

Statement of Claim filed: June 16, 1993

Claimant's Submission Agreement signed: June 15, 1993

Statement of Answer filed by Respondent: September 1, 1993

Respondent's Submission Agreement signed: September 1, 1993

HEARING INFORMATION

An evidentiary hearing lasting one (1) session was held in Los Angeles, California on October 11, 1994.

CASE SUMMARY

Claimant alleged that Respondent, a former employee of Claimant, was indebted to Claimant for customer write-offs, registration fees, errors and omissions, a fine and corporate fees pursuant to their representative agreement dated April 28, 1992.

Respondent denied the allegations of indebtedness.

RELIEF REQUESTED

Claimant requested damages of \$7,465.49 plus interest and costs of arbitration.

Respondent requested dismissal of the claim.

OTHER ISSUES CONSIDERED AND DECIDED

The parties have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered. In either case, the parties have agreed to receive conformed copies of the Award while the original remains on file with the NASD.

AWARD

After considering the pleadings, the testimony and the evidence presented at the hearing, the undersigned arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent is liable for and shall pay to Claimant the sum of \$2,886.55 exactly within thirty days of receiving from Claimant proof that the Claimant has paid the NASD settlement.
2. The parties shall each bear their respective costs of arbitration.

FORUM FEES

Pursuant to Section 44 (c) of the Code of Arbitration Procedure, the NASD shall retain the \$500 non-refundable filing fee deposited by Claimant. Claimant's \$300 hearing session fee shall be retained as an assessment of forum fees for 1 session.

Fees are payable to the National Association of Securities Dealers, Inc.

ARBITRATORS

Name Public / Industry

Michael D. Donahue

Industry Arbitrator

Concurring Arbitrator's' Signature



Michael D. Donahue

Date Served: 11-23-94