

AWARD

NASD REGULATION, INC., OFFICE OF DISPUTE RESOLUTION

In the matter of the Arbitration Between

Name of Claimant

Vivian Joy Konopasek

v.

Arbitration No.
95-04799

Name of Respondents

Bradley Katz, Kimberly Hardaker, Dennis Hardaker,
James Morgan Bowen, Ralph Pillman, Donald Vigil,
International Assets Advisory, Inc., Brennan Ross Securities, Inc.,
Tamaron Investment, Inc., and Baraban Securities, Inc.,

REPRESENTATION

For Claimant:

Vivian Joy Konopasek
In Pro Per
Dana Point, California

For Respondent:

Robert A. Uhl, Esq.
Aidikoff and Uhl
Beverly Hills, California

CASE INFORMATION

Statement of Claim filed:	October 11, 1995
Claimant's Submission Agreement signed:	October 1, 1995
Statement of Answer filed by Respondent Baraban Securities, Inc.	January 8, 1996
Respondent Baraban Securities, Inc. Submission Agreement signed:	January 8, 1996

HEARING INFORMATION

Pre Hearing Conference Date / Session:

October 31, 1996 (1 Session)

CASE SUMMARY

Claimant alleged that Respondents made misrepresentations, breached their fiduciary duty owed to the Claimant, and committed fraud. -

Respondents denied each and every allegation of wrongdoing set forth in the Claimant's Statement of Claim.

Respondent Baraban Securities, Inc. cross-claimed against Tamaron Investment, Inc. for indemnification.

RELIEF REQUESTED

Claimant requested \$13,753.00 in compensatory damages, interest, and costs and fees associated with the arbitration.

Respondent requested that the Arbitration Panel dismiss the Claimant's claim in its entirety. Respondent Baraban Securities, Inc. also requested indemnification of any award amount by Cross-Respondent Tamaron Investment, Inc.

OTHER ISSUES CONSIDERED AND DECIDED

On December 13, 1995, Respondent Kimberly Hardaker was dismissed as a Respondent.

On December 13, 1995, Respondent Dennis Hardaker was dismissed as a Respondent.

On December 14, 1995, Respondent Tamaron Investment, Inc. was dismissed as a Respondent.

On February 20, 1996, Respondent James Morgan Bowen was dismissed as a Respondent.

On February 22, 1996, Respondent Ralph Pittman was dismissed as a Respondent.

Respondent Donald Vigil was dismissed.

AWARD

The undersigned arbitration panel has decided in full and final resolution of the issues submitted for determination as follows:

Claimant's claim is dismissed without prejudice for failure to prosecute the claim.

FORUM FEES

Pursuant to Rule 10332(c) of the Code of Arbitration Procedure, the following forum fees are assessed:

<u>One Pre-Hearing Conference Session @ \$400.00 / Session</u>	<u>= \$400.00</u>
<u>Total Fees Assessed Against Claimant</u>	<u>= \$400.00</u>
<u>Credit for Claimant's Hearing Session Deposit</u>	<u>= (\$400.00)</u>
<u>Claimant's Balance Due</u>	<u>= \$0.00</u>

Fees are payable to NASD Regulation, Inc.

OTHER FEES

Pursuant to Rule 10333 of the Code, Respondent Baraban Securities, Inc. has paid to NASD Regulation, Inc. the \$ 200.00 member surcharge previously invoiced.

Pursuant to Rule 10333 of the Code, Respondent International Assets Advisory Corp. has paid to NASD Regulation, Inc. the \$200.00 member surcharge.

Pursuant to Rule 10333 of the Code, Respondent Brennan Ross Securities, Inc. shall pay to NASD Regulation, Inc. the \$200.00 past due member surcharge previously invoiced.

ARBITRATORS

Name

Louis R. Eglash, Esq.

Steven H. Gerber

Joyce E. Higgins


Public / Industry

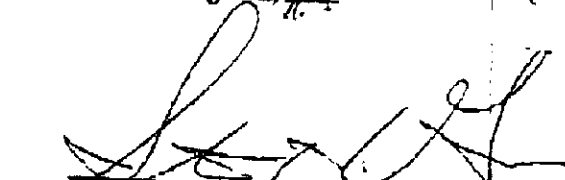
Public Arbitrator

Industry Arbitrator

Public Arbitrator

Concurring Arbitrators' Signatures


Louis R. Eglash, Esq.


Steven H. Gerber

Joyce E. Higgins

Date of Service:

October 28, 1998

ARBITRATORS

<u>Name</u>	<u>Public / Industry</u>
Louis R. Eglash, Esq.	Public Arbitrator
Steven H. Gerber	Industry Arbitrator
Joyce E. Higgins	Public Arbitrator

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NASD Arbitration Mediation

Concurring Arbitrators' Signatures

Louis R. Eglash, Esq.

Steven H. Gerber

Joyce E. Higgins
Joyce E. Higgins

Date of Service: October 28, 1998