

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-02252

Frank and Joyce Dubois, claimants v. DMG Securities, Inc., Steven Petney, Samuel Carrier and John Csenge, respondents.

ATTORNEYS:

For Claimants appeared Brian G. Mooney, Esq. - Tampa, FL.

For Respondents DMG Securities, Inc., Steven Petney and John Csenge appeared Gregory Tendrich, Esq. - Boca Raton, FL.

Respondent Samuel Carrier appeared pro se - Tampa, FL.

DATE FILED: 5/28/96.

CASE SUMMARY: Claimant alleged breach of fiduciary duty, unsuitability, failure to supervise and negligence.

Claim Data

Claim: \$9,004.04
Interest: \$1,629.20

Punitive: \$.00
Atty Fees: Yes

Filing Fees: \$150.00
Costs: \$576.58
Other: \$.00

Award Data

Award: \$9,000.00
Interest: on the award of \$9,000.00
from 6/25/94 to 5/23/96 at the rate
allowed by the state of Florida.

Punitive: \$.00
Atty Fees: Reasonable attorney fees
as determined by a court of competent
jurisdiction under Florida 517-211.


Filing Fees: \$150.00
Costs: \$.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$9,000.00 with interest from 6/25/94 to 5/23/96 at the following rates: 12% through 12/31/94; 8% through 12/31/95 and 10% from 1/1/96 to present. 2) Respondents are jointly and severally liable for claimants reasonable attorney fees as determined by a court of competent jurisdiction under Florida 517-211. 3) All requests for punitive damages are denied. 4) All other requests for relief are denied. 5) The \$150.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondents are jointly and severally liable and shall pay claimant \$150.00 as reimbursement of their filing fee.

Page Two
Award 96-2252

AFFIRMATION

I, Thomas E. Greef, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.


Thomas E. Greef

September 22, 1997
Date of award