

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

CASE: 96-04359

Helena Gunnarsson, claimant v. Johnston, Lemon and Co., Susanne Nolan and James H. Lemon, respondents.

ATTORNEYS:

Claimant appeared pro se - Washington, DC.

For Respondents appeared Donald E. Clem, Esq. Washington, DC.

DATE FILED: 9/30/96

CASE SUMMARY: Claimant alleged misrepresentation, omissions, unsuitability and failure to supervise in the sale of stock.

Claim Data

Claim: \$4,766.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00


Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.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) The claims of claimant are dismissed in their entirety. 2) All other requests for relief are denied. 3) The \$125.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Bruce Sanders, Esq., 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.


Bruce Sanders, Esq.

November 14, 1997
Date of award