

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

CASE: 96-04914

John L. and Elaine E. Miller, claimants v. Lew Lieberbaum & Co., Inc. and Fred M. Dorushkin, respondents.

ATTORNEYS:

For Claimants

Claimants appeared Pro Se. - McKinney, TX.

For Respondents

Chase Caro, Esq. - New York, NY.

DATE FILED: November 4, 1996.

CASE SUMMARY: Claimant alleged misrepresentation, unauthorized trading/commissions; omission of facts; breach of fiduciary duty; and failure to supervise in sale of stock.

Claim Data

Claim: \$2,450.00
Punitive: \$625.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$2,450.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$125.00
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 claimants \$2,450.00. 2) All requests for punitive damages are denied. 3) All other requests for relief are denied. 4) The \$125.00 filing fee previously deposited by the claimants 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 claimants \$125.00 as reimbursement of the filing fee.

AFFIRMATION

I, Stuart H. Dunn, 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.

Stuart H. Dunn
Stuart H. Dunn, Esq.

June 5, 1997
Date of award