

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

CASE: 96-05315

William F. Dennis, claimant v. C. David Hughes and D. Scott Hogewood, respondents.

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**ATTORNEYS:**

For Claimant

Claimant appeared Pro Se - Long Beach, NY.

For Respondent David Hughes appeared John S. Arrowood - Charlotte, NC.

Respondent D. Scott Hogewood appeared Pro Se - Charlotte, NC.

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DATE FILED: November 29, 1996.

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**CASE SUMMARY:** Claimant alleged misrepresentation, omissions of material fact and negligence in the sale of Food Lion stock.

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**Claim Data**

Claim: \$10,000.00  
Punitive: \$0.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

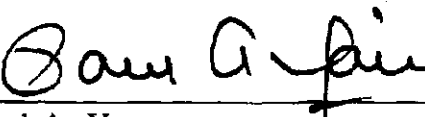
Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**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 requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other requests for relief are denied. 5) The \$75.00 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, Paul A. Yates, 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.

  
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Paul A. Yates

June 25, 1997  
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Date of award