

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

CASE: 97-03244

Irene N. Dugan Trust and Irene Dugan, claimants v. Sentra Securities Corp., respondent.

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**ATTORNEYS:**

For claimants appeared Mark P. Krones - San Diego, CA.

For respondent appeared Gregory D. Fitzpatrick - San Diego, CA.

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**DATE FILED: 6/30/97**

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**CASE SUMMARY:** Claimants alleged respondent failed to notify them that broker was terminated and that respondent violated Rule 11(b) of the Federal Rules of Civil Procedure and the California Code of Civil Procedure section 128.7

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**Claim Data**

Claim: \$10,000.00  
Interest: Unspecified  
Punitive: Unspecified  
Atty Fees: Unspecified  
Costs: Unspecified  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

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

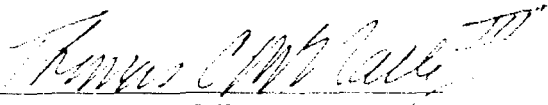
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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other requests for relief are denied. 5) The \$150.00 filing fee previously deposited by the claimants with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

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**AFFIRMATION**

I, Thomas C. McNally, III, 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.

  
Thomas C. McNally, III, Esq.

December 23, 1997  
Date of award