

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Seth and Mary Sargent

vs.

Claimant(s)

Blinder, Robinson & Co., Inc.,
Compagnie Equities, Ltd.,
Glen J. McKie, et al

Respondent(s)

NOTICE OF ARBITRATION

AWARD

87-02104

CASE SUMMARY

Claimant(s) Seth and Mary Sargent alleged that Respondent(s) Blinder, Robinson & Co., Inc., Compagnie Equities, Ltd., Glen J. McKie, et al did not disclose material information concerning Claimants' investments with Respondent. Respondent(s) deny Claimants' allegations. Respondent Blinder, Robinson & Co., Inc. filed a third party claim against registered representative Robert L. Murray.

RELIEF REQUESTED

Claimant(s) Seth and Mary Sargent requested damages of Two Thousand One Hundred Dollars and No Cents (\$2,100.00). Respondent(s) requested dismissal of claim and costs. Respondent Blinder, Robinson & Co., Inc. filed a third party claim against Robert C. Murray for any damages arising out of this case.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, William L. Hawes, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on December 15, 1987 and by Respondent(s) on May 17, 1988 and November 11, 1988, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The Respondents Blinder, Robinson & Co., Inc., Compagnie Equities, Ltd., John H. Brinkman, Kim M. McKie, and Glen J. McKie are jointly and severally liable to the Claimant for the total amount of Two Thousand One Hundred Dollars and No Cents (\$2,100.00).

Robert L. Murray, the Respondent to the third party claim is liable to Blinder, Robinson & Co., Inc. up to the maximum amount of Three Hundred Dollars and No Cents (\$300.00).

The parties shall each bear their respective costs including attorney's fees.

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding and reimbursed equally to the Claimant by the Respondents.

October 24, 1989