

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Sarah C. DeMaria

Claimant(s)

vs.

Blinder, Robinson & Co., Inc.

vs.

John G. Flanagan

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD

87-02165

CASE SUMMARY

Claimant(s) Sarah C. DeMaria alleged that Respondent(s) Blinder, Robinson & Co., Inc. did not execute a buy order as instructed by Claimant. Respondent Blinder, Robinson & Co., Inc. denies Claimant's allegations and enters a third party claim against John G. Flanagan for any liability arising out of this proceeding.

RELIEF REQUESTED

Claimant(s) Sarah C. DeMaria requested damages of One Thousand Eight Hundred Eighty Five Dollars and No Cents (\$1,885.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Scott Sullivan Wallner, Esq., 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 October 23, 1987 and by Respondent Blinder, Robinson & Co., Inc. on March 17, 1988 and not by the Respondent John G. Flanagan as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, respectively;

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

That the Respondent is liable and shall pay to the Claimant the total sum of Two Hundred Fifty Dollars and No Cents (\$250.00), and;

Notice of Arbitration Award  
Case No. 87-02165  
Page 2

That the third party claim of Blinder, Robinson & Co., Inc. against Respondent John G. Flanagan is dismissed in its entirety.

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 refunded to the Claimant by the Respondent Blinder, Robinson & Co., Inc.

March 26, 1990

