

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James Earl Grace

Claimant(s)

vs.

Blinder, Robinson & Co., Inc.
and Joseph S. Finn

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03744

CASE SUMMARY

Claimant(s) James Earl Grace alleged that Respondent(s) Blinder, Robinson & Co., Inc. and Joseph S. Finn failed to execute a requested transaction in Claimant's account. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) James Earl Grace requested damages of One Thousand Dollars and No Cents (\$1,000.00). 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, George R. Freund, 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 November 30, 1988 and by Respondent(s) Blinder, Robinson & Co., Inc. on April 4, 1989 and Respondent Joseph S. Finn on June 30, 1989. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim of the Claimant is hereby dismissed in its entirety.

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

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD as costs of this proceeding.

September 27, 1989