

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robbie Eason

Claimant(s)

vs.

Capital First Securities

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-00200

CASE SUMMARY

Claimant Robbie Eason alleged that Respondent Capital First Securities made misrepresentations concerning unregistered stock. Respondent maintains that the Claimant failed to identify and join all parties necessary to complete determination of the issues.

RELIEF REQUESTED

Claimant Robbie Eason requested damages of \$4,015.00. Respondent requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on January 19, 1989 and by Respondent on March 27, 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:

That the claim of the Claimant is hereby dismissed in all respects.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant shall be retained by the NASD as costs of this proceeding.

Virginia Handal

June 16, 1989