

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Charles F. Roberts

Claimant(s)

vs.

Rosemary Grady and
Amerimutual Corp.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-00283

CASE SUMMARY

Claimant(s) Charles F. Roberts alleged that Respondent(s) Rosemary Grady and Amerimutual Corp. sold shares of stock for less than the price quoted. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Charles F. Roberts requested damages of Two Thousand Two Hundred Fifteen Dollars and No Cents (\$2,215.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, William L. Hawes, 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 January 27, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 are jointly and severally liable and will pay to the Claimant the sum of Two Thousand Two Hundred Fifteen Dollars and No Cents (\$2,215.00).

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 refunded to the Claimant by the Respondents.
December 5, 1989