

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Patricia Nolan

Claimant(s)

vs.

Amerimutual Corp., Rosemary Grady,
and Guinness Capital
Funding, Inc.

Respondent(s)

**NOTICE OF
ARBITRATION
AWARD**

89-00349

CASE SUMMARY

Claimant(s) Patricia Nolan alleged that Respondent(s) Amerimutual Corp., Rosemary Grady, and Guinness Capital Funding, Inc. owes Claimant for monies on sale of stock. Respondent(s) did not defend.

RELIEF REQUESTED

Claimant(s) Patricia Nolan requested damages of One Thousand Five Hundred Dollars and No Cents (\$1,500.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Deena J. Powell, 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 31, 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 shall pay the sum of One Thousand Five Hundred Dollars and No Cents (\$1,500.00) to the Claimant.

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

Notice of Arbitration Award
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The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondents.

March 12, 1990