

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Lillian Dawn Denham

OATH AND
AWARD OF
ARBITRATOR

89-00676

Claimant

vs.

Blinder, Robinson & Co., Inc.

Respondents

Having been selected as an arbitrator to consider and determine the matter in controversy between the above-captioned parties, I solemnly swear or affirm that:

- I am not an employer of, employed by or related by blood or marriage to any of the parties or witnesses whose names have been disclosed to me, and
- I have no interest directly or indirectly in this proceeding, and
- I know of no existing or past financial, business, professional, family or social relationship which would impair me from performing my duties, and
- I shall consider and decide the controversy faithfully and fairly and render a just award to the best of my understanding,

CASE SUMMARY

Claimant(s) Lillian Dawn Denham alleged that Respondent(s) Blinder, Robinson & Co., Inc. advised and encouraged Claimant to purchase the securities of a fraudulent issuer. Respondent(s) maintain that Claimant's allegations are based solely upon information contained in a magazine article and that Blinder, Robinson & Co., Inc. has no record of an account in Claimant's name.

RELIEF REQUESTED

Claimant(s) Lillian Dawn Denham requested damages of Two Thousand One Hundred Seven Dollars and Thirty-Seven Cents (\$2,117.37). Respondent(s) requested dismissal of claim and costs.

The undersigned being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant(s) and Respondent(s), set forth in a submission to Arbitration signed by the Parties on February 23, 1989 and October 18, 1989 respectively;

And, that having reviewed and considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined that in full and final settlement of the above-captioned matter,

Note: Fill out only those sections which apply to this particular case: Case Number 89-00676

- 1) Case Dismissed _____
- 2) Find for the Claimant
(a) total amount of the award: \$ 1,635.00
(b) if two or more respondents are liable:
(1) joint and severally liable: yes _____ no _____
(2) if respondents separately liable
list party and the amounts: _____

- 3) Counterclaim of Respondent
(a) total amount of award: \$ _____
(b) party to receive award: _____
(c) counterclaim dismissed: _____
- 4) Punitive Damages
(a) total amount \$ _____
(b) name parties against whom damages are to be
assessed and in what amounts: _____

- (c) claim dismissed: _____
- 5) NASD Fee
(a) assessed against Claimant
(b) assessed against Respondent X
- 6) Use this space to expand or clarify any part of the
decision above or to indicate other forms of specific
relief.

Affirmation

STATE OF Maryland

} SS:
}

COUNTY OF Baltimore

I, THOMAS B. COREY, do hereby affirm upon my oath
as arbitrator that I am the individual described in and who
executed this instrument, which is, my oath and award.

18 December 1989
(DATE)

Thomas B. Corey
(SIGNATURE OF ARBITRATOR)