

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

William C. Roberts

vs.

Claimant(s)

Blinder, Robinson & Co., Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00983

CASE SUMMARY

Claimant(s) William C. Roberts alleged that Respondent(s) Blinder, Robinson & Co., Inc. did not liquidate stock in a timely manner. Respondent(s) maintain that Claimant did not request a sale transaction.

RELIEF REQUESTED

Claimant(s) William C. Roberts requested damages of Six Thousand Dollars and No Cents (\$6,000.00). 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 March 16, 1989 and by Respondent(s) on May 11, 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 shall be and hereby is 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(s) will be retained by the NASD as costs of this proceeding.

July 28, 1989