

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Roy Stripe

Claimant(s)

vs.

Guardian International
Securities Corp.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01121

CASE SUMMARY

Claimant(s) Roy Stripe alleged that Respondent(s) Guardian International Securities Corp. failed to disclose material facts as to Claimant's investment with Respondent. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Roy Stripe requested damages of Four Hundred Eighty Dollars and No Cents (\$480.00). 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, Thomas B. Corey, 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 April 10, 1989 and by Respondent(s) on May 27, 1989, respectively;

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 claim against the Respondent shall be dismissed in its entirety.

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

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 23, 1989