

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Nancy E. MacCartney

Claimant(s)

vs.

Capital Investment  
Graystone Nash

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-01162

CASE SUMMARY

Claimant(s) Nancy E. MacCartney alleged that Respondent(s) Capital Investment/Graystone Nash misrepresented material facts as to Claimant's investment with Respondent. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Nancy E. MacCartney requested damages of One Thousand Dollars and No Cents (\$1,000.00). Respondent(s) requested dismissal of claim and costs and in addition, Respondent Graystone Nash, Inc. cross-claims Peter Blanding for any liabilities arising out of the above proceeding.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Perry E. Wallace, Jr., 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 13, 1989 and by Respondent(s) on August 3, 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:

Respondent Capital Investment/Graystone Nash or its successors shall be liable to the Claimant for the total amount of One Thousand Dollars and No Cents (\$1,000.00); and

Peter Blanding, the Respondent in the cross-claim shall be liable to Graystone Nash, Inc. for the total amount of Two Hundred Dollars and No Cents (\$200.00).

• 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 and reimbursed by the Respondents to the Claimant.

November 9, 1989