

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert O'Byrne

Claimant(s)

vs.

Rosemary Grady

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01217

CASE SUMMARY

Claimant(s) Robert O'Byrne alleged that Respondent(s) Rosemary Grady made misrepresentations. Respondent(s) claimed she does not know Claimant.

RELIEF REQUESTED

Claimant(s) Robert O'Byrne requested damages of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00). 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, Ronee C. McLaughlin, 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 20, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, 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:

That the Respondent is liable and will pay to the Claimant the sum of One Thousand Five Hundred Fifteen Dollars and No Cents (\$1,515.00).

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

October 6, 1989