

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James A. and
Marsha L. Rowlands

Claimant(s)

vs.

Graystone Nash, Inc.

vs.

Peter Blanding and
R.B. Marich, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-01309

CASE SUMMARY

Claimant(s) James A. and Marsha L. Rowlands alleged that Respondent(s) Graystone Nash, Inc. mishandled their account. Respondent Graystone Nash, Inc. denies knowledge or information sufficient to form a belief as to allegations and files a third party claim against Peter Blanding and R.B. Marich, Inc.

RELIEF REQUESTED

Claimant(s) James A. and Marsha L. Rowlands requested damages of Three Hundred Dollars and No Cents (\$300.00). 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, 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 18, 1989 and by Respondent R.B. Marich, Inc. on July 28, 1989 and Respondent Graystone Nash, Inc. on June 7, 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 Respondent Graystone Nash, Inc. shall be dismissed in its entirety, and;

Notice of Arbitration Award

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The third party claim against Respondents Peter Blanding and R.B. Marich, Inc. shall also be dismissed.

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 and reimbursed by Graystone Nash to the Claimant.

March 6, 1990