

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between
Frank and Bridget Blainey

Claimant(s)

vs.

Equitable Securities
of New York

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-01467

CASE SUMMARY

Claimant(s) Frank and Bridget Blainey alleged that Respondent(s) Equitable Securities of New York made unauthorized transactions. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Frank and Bridget Blainey requested damages of Two Thousand Four Hundred Ninety Dollars and Fifty Cents (\$2,490.50).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Roneé 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 May 12, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 the Claimant the sum of Two Thousand Four Hundred Ninety Dollars and Fifty Cents (\$2,490.50).

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.

December 11, 1989