

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Virginia C. Smith

vs.

Claimant(s)

Blinder, Robinson & Co., Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01653

CASE SUMMARY

Claimant(s) Virginia C. Smith alleged that Respondent(s) Blinder, Robinson & Co., Inc. failed to execute a trade. Respondent(s) maintain that Claimant's losses, if any, were caused or contributed to by Claimant's own fault or conduct.

RELIEF REQUESTED

Claimant(s) Virginia C. Smith requested damages of One Thousand Sixty Dollars and No Cents (\$1,060.00). 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, H. Victor Schwimmer, 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 18, 1989 and by Respondent(s) on September 1, 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 Respondent shall pay the sum of Five Hundred Thirty Dollars and No Cents (\$530.00) to the Claimant.

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) shall be refunded to the Claimant by the Respondent.

October 25, 1989