

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Terrance F. and
Jacqueline G. Colegate

Claimant(s)

vs.

Blinder, Robinson & Co., Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01716

CASE SUMMARY

Claimant(s) Terrance F. and Jacqueline G. Colegate alleged that Respondent(s) Blinder, Robinson & Co., Inc. made misrepresentations with respect to the "Putnam High Income Government Trust". Respondent(s) maintain that Claimants were made aware of all aspects of the Trust.

RELIEF REQUESTED

Claimant(s) Terrance F. and Jacqueline G. Colegate requested damages of Four Thousand Three Hundred Sixty One Dollars and Twenty-One Cents (\$4,361.21). 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 May 19, 1989 and by Respondent(s) on August 14, 1989. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

Respondent shall refund to the Claimant the total amount of compensation (commission) paid to Mr. Szulc in connection with the Putnam High Income Government Trust transaction.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

September 18, 1989