

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Anthony and
Catherine DiDonato

Claimant(s)

vs.

Profile Investments Corp.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-01998

CASE SUMMARY

Claimant(s) Anthony and Catherine DiDonato alleged that Respondent(s) Profile Investments Corp. failed to complete the sale of Claimants' stock. Respondent did not respond.

RELIEF REQUESTED

Claimant(s) Anthony and Catherine DiDonato requested damages of One Thousand Dollars and No Cents (\$1,000.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Roneé C. McLaughlin, 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 August 26, 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 return to Claimants 300 shares of Pubco Corp., or, in the alternative, pay to Claimants the sum of One Hundred Seventy Nine Dollars and No Cents (\$179.00) plus all fees owed to Oтра Clearing, Inc.

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) will be refunded to the Claimant by the Respondent. February 7, 1990