

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Joseph H. Gauss

Claimant(s)

vs.

Blinder, Robinson & Co., Inc.

vs.

John Hubble

Respondent(s)

NOTICE OF
ARBITRATION
AWARD

89-02379

CASE SUMMARY

Claimant(s) Joseph H. Gauss alleged that Respondent(s) Blinder, Robinson & Co., Inc. made unauthorized trades in his account. Respondent(s) maintain that Claimant's losses, if any, were caused or contributed to by Claimant's own fault or conduct and filed a third party claim against John Hubble.

RELIEF REQUESTED

Claimant(s) Joseph H. Gauss requested damages of Five Thousand Dollars and No Cents (\$5,000.00). 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, Deena J. Powell, 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 19, 1989 and by Respondent(s) on October 9, 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 of the Claimant is hereby dismissed in all respects, and;

The third party claim against Respondent John Hubble is also dismissed in all respects.

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) shall be retained by the NASD as costs of this proceeding.

January 5, 1990