

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Charles M. & Katherine L. Paulk

Claimant(s)

vs.

Blinder Robinson & Co., Inc. and
David Slaght

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-02669

CASE SUMMARY

Claimant(s) Charles M. & Katherine L. Paulk alleged that Respondent(s) Blinder Robinson & Co., Inc. and David Slaght made misrepresentations. Respondent(s) maintain that the alleged statements that a profit could be expected were statements of opinion and not fact.

RELIEF REQUESTED

Claimant(s) Charles M. & Katherine L. Paulk requested damages of Three Thousand Two Hundred Sixty Dollars and No Cents (\$3,260.00). 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, Ms. Janet Weiss, 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 October 2, 1989 and by Respondent(s) on November 2, 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.

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

The \$100 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

March 28, 1990