

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Georgette Nebulo

Claimant(s)

vs.

Vincent Beatty

Respondent(s)

AMENDED
NOTICE OF
ARBITRATION
AWARD
89-02944

THIS NOTICE OF ARBITRATION AWARD SUPERCEDES THE NOTICE OF
ARBITRATION AWARD DATED MAY 21, 1990

CASE SUMMARY

Claimant(s) Georgette Nebulo alleged that Respondent(s) Vincent Beatty in violation of an oral agreement failed to provide a prospectus prior to purchasing securities for Claimant's account. Respondent(s) maintain that a prospectus was provided and Claimant was aware of both the risk and rewards involved in purchasing speculative securities.

RELIEF REQUESTED

Claimant(s) Georgette Nebulo requested damages of One Thousand Dollars and No Cents (\$1,000.00). 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, 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 October 19, 1989 and by Respondent(s) on March 9, 1990, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the Respondent is liable and shall pay to the Claimant the sum of Five Hundred Dollars and No Cents (\$500.00).

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

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The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent.

May 21, 1990