

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

**In the Matter of the Arbitration Between**

**Kathleen Harper**

**Claimant(s)**

**vs.**

**Tom Morin**

**Respondent(s)**

**NOTICE OF  
ARBITRATION  
AWARD  
89-03319**

**CASE SUMMARY**

Claimant(s) Kathleen Harper alleged that Respondent(s) Tom Morin made misrepresentations and failed to execute stock sales. Respondent(s) maintain that at no time was he ever Claimant's account executive nor did he make recommendations regarding her investments.

**RELIEF REQUESTED**

Claimant(s) Kathleen Harper requested damages of Three Thousand One Hundred Thirty Six Dollars and No Cents (\$3,136.00). 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, Thomas B. Corey, 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 November 21, 1989 and by Respondent(s) on January 23, 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 claim of the Claimant is hereby 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.

May 17, 1990