

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert A. Glamore

OATH AND
AWARD OF
ARBITRATOR

90-00087

Claimant

vs.

Kennedy, Cabot & Co.

Respondents

JUN 15 1990

Having been selected as an arbitrator to consider and determine the matter in controversy between the above-captioned parties, I solemnly swear or affirm that:

✓ I am not an employer of, employed by or related by blood or marriage to any of the parties or witnesses whose names have been disclosed to me, and

✓ I have no interest directly or indirectly in this proceeding, and

✓ I know of no existing or past financial, business, professional, family or social relationship which would impair me from performing my duties, and

✓ I shall consider and decide the controversy faithfully and fairly and render a just award to the best of my understanding,

CASE SUMMARY

Claimant(s) Robert A. Glamore alleged that Respondent(s) Kennedy, Cabot & Co. committed an error with respect to Claimant's account held with Respondent. Respondent(s) counterclaims Claimant for the amount of the overcredit made to Claimant's account.

RELIEF REQUESTED

Claimant(s) Robert A. Glamore requested damages of Three

Thousand Dollars and No Cents (\$3,000.00). Respondent(s) requested dismissal of claim and costs and counterclaims Claimant for the amount of the overcredit made to Claimant's account.

The undersigned being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant(s) and Respondent(s), set forth in a submission to Arbitration signed by the Parties on December 29, 1989 and February 22, 1990 respectively;

And, that having reviewed and considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined that in full and final settlement of the above-captioned matter,

Note: Fill out only those sections which apply to this particular case: Case Number 90-00087:

- 1) Case Dismissed xx
- 2) Find for the Claimant
(a) total amount of the award: \$ _____
(b) if two or more respondents are liable: _____
 (1) joint and severally liable: yes _____ no _____
 (2) if respondents separately liable
 list party and the amounts: _____

- 3) Counterclaim of Respondent
(a) total amount of award: \$ 3,000.00
(b) party to receive award: _____ xx
(c) counterclaim dismissed: _____
- 4) Punitive Damages
(a) total amount \$ _____
(b) name parties against whom damages are to be
 assessed and in what amounts: _____

- (c) claim dismissed: _____
- 5) NASD Fee
(a) assessed against Claimant xx
(b) assessed against Respondent _____
- 6) Use this space to expand or clarify any part of the
decision above or to indicate other forms of specific
relief.

Affirmation

STATE OF NEW JERSEY

} SS:
}

COUNTY OF UNION

I, **GEORGE R. FREUND**, do hereby affirm upon my oath
as arbitrator that I am the individual described in and who
executed this instrument, which is my oath and award.

JUNE 13, 1990

(DATE)


GEORGE R. FREUND

(SIGNATURE OF ARBITRATOR)