

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert S. Perkins, Jr.

Claimant(s)

vs.

Shearwater Financial Corp.
and Steve Wormald

Respondent(s)

NOTICE OF
ARBITRATION
AWARD

90-00134

CASE SUMMARY

Claimant(s) Robert S. Perkins, Jr. alleged that Respondent(s) Shearwater Financial Corp. and Steve Wormald misrepresented material facts as to Claimant's investment with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Robert S. Perkins, Jr. requested damages of Six Thousand Nine Hundred Forty Dollars and No Cents (\$6,940.00). 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, William Zysk, 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 January 8, 1990 and by Respondent(s) on February 21, 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 \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

May 1, 1990