

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Mary Ellen Rogulski

Claimant(s)

vs.

Gruntal & Co.

Respondent(s)

NOTICE OF
ARBITRATION

AWARD

90-01361

CASE SUMMARY

Claimant(s) Mary Ellen Rogulski alleged that Respondent(s) Gruntal & Co. has failed to change the name of the custodian on mutual funds and limited partnership investments after repeated requests. Respondent denied the allegations and maintains that errors made by Claimant and Claimant's other brokerage firms have caused the delay.

RELIEF REQUESTED

Claimant(s) Mary Ellen Rogulski requested damages of Five Thousand Dollars and No Cents (\$5,000.00). 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, 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 May 23, 1990 and undated by the Respondent, 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, and;

That Claimant is hereby ordered to provide Gruntal & Co., Inc. with the appropriate written instructions to transfer the shares of A.B.T. and Southmark to the brokerage of her choice.

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

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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.

September 10, 1990