

**Stipulated Award**  
**NASD Dispute Resolution, Inc.**

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In the Matter of the Arbitration  
Between:

JACQUELYN JOHNSON and  
MARIANNE JOHNSON,

Claimants.

FIRST SECURITY VAN KASPER,  
ALBERT S. HUMPHREY, III,  
v. GEORGE BALLING AND BRUCE  
NOLLENBERGER,

Respondents.

Case No. 01-00463

Hearing Site: San Francisco

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**REPRESENTATION OF PARTIES**

For Claimants:

JACQUELYN JOHNSON and  
MARIANNE JOHNSON

Brian L. Zagon, Esq.  
Resolution Law Group, P.C.  
3717 Mt. Diablo Blvd., Suite 200  
Lafayette, CA 94549

For Respondents:

FIRST SECURITY VAN KASPER,  
ALBERT S. HUMPHREY, III,  
GEORGE BALLING AND BRUCE  
NOLLENBERGER

Cameron Stout  
Gordon C. Young  
Keesal, Young & Logan  
Four Embarcadero Center  
Suite 1500  
San Francisco, Calif. 94111

**CASE INFORMATION**

Statement of Claim filed: January 22, 2001

Amended Statement of Claim filed: May 16, 2001

Answer to Statement of Claim filed by Respondents FIRST SECURITY VAN  
KASPER, ALBERT S. HUMPHREY, III and GEORGE BALLING:  
April 20, 2001

Answer to Amended Statement of Claim filed by Respondent BRUCE W.  
NOLLENBERGER: July 20, 2001.

## **RELIEF REQUESTED**


The following award is hereby stipulated to between Claimants JACQUELYN JOHNSON and MARIANNE JOHNSON ("Claimants") and Respondents FIRST SECURITY VAN KASPER, ALBERT S. HUMPHREY, III, GEORGE BALLING and BRUCE NOLLENBERGER by and through their counsel of record:

## **AWARD**

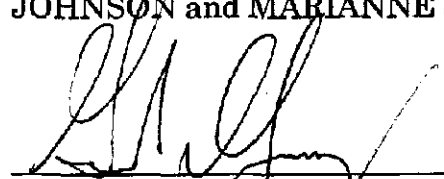
It is hereby recommended that all reference to the above-captioned arbitration shall be expunged from Respondents George Balling and Bruce W. Nollenberger's registration and/or compliance records maintained by any and all state, federal and/or other governmental or self regulatory organizations including, without limitation, the NASD Central Registration Depository ("CRD"), the Securities and Exchange Commission and the New York Stock Exchange, with the understanding that, pursuant to NASD Notice to Members 99-09, said Respondents must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

## **Parties' Signatures**

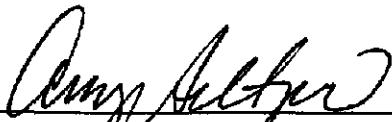
DATED: September 5, 2001

  
BRIAN ZAGON  
RESOLUTION LAW GROUP, P.C.  
Attorneys for Claimants JACQUELYN  
JOHNSON and MARIANNE JOHNSON

DATED: September 18, 2001

  
CAMERON STOUT  
GORDON C. YOUNG  
KEESAL, YOUNG & LOGAN  
Attorneys for Respondents FIRST  
SECURITY VAN KASPER, ALBERT  
S. HUMPHREY, III, GEORGE  
BALLING AND BRUCE W.  
NOLLENBERGER

Concurring Arbitrators' Signatures

  
\_\_\_\_\_  
Amy Seltzer, Ph.D.  
Public Arbitrator, Chairperson

10/10/01  
\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Harry B. Endsley  
Public Arbitrator

\_\_\_\_\_  
Signature Date

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E. Duane Stephens  
Industry/Non-Public Arbitrator

\_\_\_\_\_  
Signature Date

Date Served:

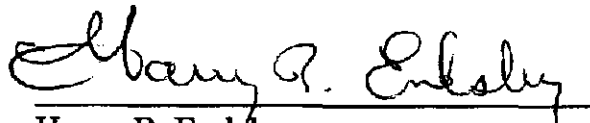
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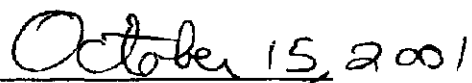
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Concurring Arbitrators' Signatures

\_\_\_\_\_  
Amy Seltzer, Ph.D  
Public Arbitrator, Chairperson

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Signature Date

  
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Harry B. Endsley  
Public Arbitrator

  
\_\_\_\_\_  
Signature Date

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E. Duane Stephens  
Industry/Non-Public Arbitrator

\_\_\_\_\_  
Signature Date

Date Served:

OCT 29 2001

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Date of Service


Concurring Arbitrators' Signatures

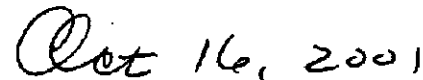
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Harry B. Endsley  
Public Arbitrator

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Industry/Non-Public Arbitrator

  
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Signature Date

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