

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

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In the Matter of the Arbitration Between

TODD GERBER

Claimant

vs.

HELPER BROUGHTON, INC.

Respondents

vs.

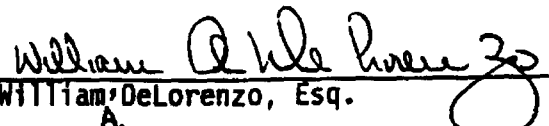
THOMSON MCKINNON SECURITIES, INC. AND  
JAMES GERBER  
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Case #86-00309

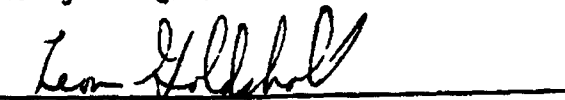
Award

On April 21, 1989, the undersigned arbitrators heard the controversy between the parties as set forth in submissions to arbitration signed by Claimant on March 4, 1986, and by Respondent, Helfer Broughton, Inc. on July 1, 1986, Respondent James Gerger on September 8, 1986 and not signed by Respondent Thomson McKinnon Securities, Inc. as required by the NASD Code of Arbitration Procedure, Section 12. The arbitration panel, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full an final resolution of the issues submitted for determination as follows:

1. To grant the motion to dismiss Thomson McKinnon Securities, Inc. as a Third Party Respondent to this proceeding;
2. The Respondent Helfer Broughton, Inc. is hereby liable and shall pay to the Claimant the sum of Ten Thousand One Hundred Twenty Five Dollars and No Cents (\$10,125.00);
3. Respondent Helfer Broughton's cross claim against Third Party Respondent James Gerber is hereby dismissed in all respects;
4. The parties shall each bear their respective costs including attorneys' fees;
5. Pursuant to Section 43 of the Code of Arbitration Procedure, the National Association of Securities Dealers, Inc. shall retain the \$100.00 filing fee previously deposited by the Claimant. Respondent Helfer Broughton, Inc. shall pay to the Claimant \$100.00 to offset the filing fee.

  
William A. DeLorenzo, Esq.

  
George R. Freund

  
Leon Goldsholl

DATED: May 12, 1989