

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

William B. Saunders

Claimant(s)

vs.

Brooks, Weinger, Robbins & Leeds,
n/k/a Greentree Securities Corp.
and William Halamicek

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
88-01186

CASE SUMMARY

Claimant(s) William B. Saunders alleged that Respondent(s) Brooks, Weinger, Robbins & Leeds, n/k/a Greentree Securities Corp. and William Halamicek failed to execute a trade. Respondent William A. Halamicek III maintains that he does not have a record nor does he recall a telephone call from the Claimant regarding the sale of the stock in question. Respondent Brooks, Weinger, Robbins & Leeds maintains that Claimant was aware of the significance of the bid and ask prices for the securities purchased for his account. Respondent Greentree Securities Corp. maintains that they had absolutely no connection with the transaction in question.

RELIEF REQUESTED

Claimant(s) William B. Saunders requested damages of One Thousand Six Hundred Fifty Eight Dollars and No Cents (\$1,658.00). 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, Roneé C. McLaughlin, 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 April 5, 1988 and by Respondent(s) Halamicek on May 31, 1988, and not by the Respondent Brooks, Weinger, Robbins & Leeds, and Greentree Securities Corp. as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

Notice of Arbitration Award
88-01186
Page Two

- That the two (2) Respondents are jointly and severally liable and will pay to the Claimant the sum of Eight Hundred Twenty Nine Dollars and No Cents (\$829.00).

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

The \$25 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by Respondent Halamicek.

April 20, 1990

Note: Fill out only those sections which apply to this particular case: Case Number 88-01186

- 1) Case Dismissed _____
- 2) Find for the Claimant
 (a) total amount of the award: \$ 829
 (b) if two or more respondents are liable: yes ☒ no ☐
 (1) joint and severally liable:
 (2) if respondents separately liable
 list party and the amounts: _____

RECEIVED

- 3) Counterclaim of Respondent
 (a) total amount of award: \$ _____
 (b) party to receive award: APR 1 _____
 (c) counterclaim dismissed: _____

CORPORATE FINANCING

- 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 _____
 (b) assessed against Respondent Halamicek ☒
- 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 Massachusetts

COUNTY OF Middlesex

I, Ronée C. McLaughlin

, 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.

4/17/90
 (DATE)

Ronée C. McLaughlin
 (SIGNATURE OF ARBITRATOR)

} SS: 569.37.0001
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