

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Sylvia Anderson

Claimant

vs.

Gary Welte, Ron Wheeler and
Stoneridge Securities, Inc.

Respondents

OATH AND
AWARD OF
ARBITRATOR

88-01655

Having been selected as an arbitrator to consider and determine the matter in controversy between the above-captioned parties, I solemnly swear or affirm that:

- I am not an employer of, employed by or related by blood or marriage to any of the parties or witnesses whose names have been disclosed to me, and
- I have no interest directly or indirectly in this proceeding, and
- I know of no existing or past financial, business, professional, family or social relationship which would impair me from performing my duties, and
- I shall consider and decide the controversy faithfully and fairly and render a just award to the best of my understanding,

CASE SUMMARY

Claimant(s) Sylvia Anderson alleged that Respondent(s) Gary Welte, Ron Wheeler and Stoneridge Securities, Inc. engaged in misrepresentation and fraud. Respondent(s) did not answer.

RELIEF REQUESTED

Claimant(s) Sylvia Anderson requested damages of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00).

The undersigned being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant(s) and Respondent(s), set forth in a submission to Arbitration signed by the Claimants on July 10, 1989 and not by Respondent as required by Sec 12(b) of the NASD Inc. Code of Arbitration Procedures respectively;

And, that having reviewed and considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined that in full and final settlement of the above-captioned matter,

Note: Fill out only those sections which apply to this particular case: Case Number 88-01655:

- 1) Case Dismissed
- 2) Find for the Claimant
 - (a) total amount of the award: \$ 2,000⁰⁰ - 450 plus
 - (b) if two or more respondents are liable:
 - (1) joint and severally liable: yes no
 - (2) if respondents separately liable list party and the amounts:
#1005 -- Ben Wheeler
#1005 -- Gary Wette
- 0 - -- Standard Securities
- 3) Counterclaim of Respondent
 - (a) total amount of award: \$
 - (b) party to receive award:
 - (c) counterclaim dismissed:
- 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 100%
- 6) Use this space to expand or clarify any part of the decision above or to indicate other forms of specific relief.

A NASD to require fees for the CLAIMANT and assess 50% of the amount for Wette and 50% against Mr. Anderson.

B If Mr. Wheeler and Mr. Wette are located and are persuaded to pay this award, then Mr. Anderson is to transfer to Mr. Wheeler 10,000 shares of CTI Technical Inc. and to Mr. Wette 10,000 shares of CTI Technical, Inc. with any transfer fees or charges borne absorbed by the Respondents. If Ms. Anderson is to receive her initial investment, she must likewise return the stock she received.

Affirmation

STATE OF LOUISIANA

PARISH OF EAST BATON ROUGE
COUNTY OF

} SS:

I, DANIEL E. BIVINS III, 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.

July 5 1990
(DATE)

Daniel E. Bivins III
(SIGNATURE OF ARBITRATOR)