

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Timothy L. Patrick
D.D.S., P.C.

Claimant(s)

vs.

Thomson-McKinnon
Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-01957

CASE SUMMARY

Claimant(s) Timothy L. Patrick D.D.S., P.C. alleged that Respondent(s) Thomson-McKinnon Securities, Inc. misrepresented material facts as to Claimant's investment with Respondent. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Timothy L. Patrick D.D.S., P.C. requested damages of Three Thousand Two Hundred Eighty Nine Dollars and No Cents (\$3,289.00). 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, Noel M. Hensley, 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 June 13, 1988 and by Respondent(s) on August 2, 1988, 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:

The claim against the Respondent shall be dismissed in its entirety.

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

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.

October 24, 1989