

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Craig G. Goodman

vs.

Claimant(s)

Rhonda Ford and
Oberweis Securities

Respondent(s)

AWARD

88-03869

The Arbitrator, George R. Freund, selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the Claimant on December 19, 1988 and not by the Respondent as required by the NASD Code of Arbitration Procedure;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondents are jointly and severally liable and shall pay the sum of Two Thousand Eight Hundred Fifty Dollars and No Cents (\$2,850.00) plus interest at Ten Per Cent (10%) from June 3, 1988 to May 10, 1989;

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$100.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be reimbursed to the Claimant by the Respondent.

May 31, 1989