

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Bo Yadegar and Joyce Yadegar

Claimant(s)

vs.

Tri Bradley Investments

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00190

CASE SUMMARY

Claimant Bo Yadegar and Joyce Yadegar alleged that Respondent Tri Bradley Investments sold Claimant warrants when he had agreed only to purchase common stock. Respondents did not defend.

RELIEF REQUESTED

Claimant Bo Yadegar and Joyce Yadegar requested damages of Five Thousand Dollars and No Cents (\$5,000.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Robert L. Agosto, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on March 14, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

That the Respondent is liable and will pay to the Claimants the sum of Five Thousand Dollars and No Cents (\$5,000.00) plus interest at the rate of 9% per year;

And, that the purchase of 300,000 CTI Technical Warrants shall be rescinded.

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 shall be refunded to the Claimant by the Respondent.

August 3, 1989