

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Gladys M. Gause

Claimant(s)

vs.

Thomson McKinnon Securities, Inc.  
and Stan Griner

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
89-00211

CASE SUMMARY

Claimant(s) Gladys M. Gause alleged that Respondent(s) Thomson McKinnon Securities, Inc. and Stan Griner committed unauthorized transactions with Claimant's account. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Gladys M. Gause requested damages of Nine Thousand Seven Hundred Forty Eight Dollars and No Cents (\$9,748.00). 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, 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 December 4, 1989 and by Respondent(s) on March 30, 1989, respectively;

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

That the two (2) Respondents are jointly and severally liable and will pay to the Claimant the sum of Nine Thousand Seven Hundred Forty Eight Dollars and No Cents (\$9,748.00), and;

That Respondent Griner will pay interest on \$9,748.00 at the rate of 10% per year from August 28, 1986 until the date of the award and then pay interest at the rate of 13% per year from the date of the award to the date of payment.

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

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent Griner.

April 24, 1990