

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

R. Delores Brokke

Claimant(s)

vs.

Thomson McKinnon Securities, Inc.,
Jim Haas and Ron Coleson

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01075

CASE SUMMARY

Claimant(s) R. Delores Brokke alleged that Respondent(s) Thomson McKinnon Securities, Inc., Jim Haas and Ron Coleson mismanaged Claimant's account. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) R. Delores Brokke requested damages of Seven Thousand Seven Hundred Eighty Four Dollars and No Cents (\$7,784.00). 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, H. Victor Schwimmer, 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 April 17, 1989 and by Respondent(s) on July 26, 1989, 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:

Respondents Thomson McKinnon Securities, Inc. and Jim Haas are jointly and severally liable and shall pay the sum of One Thousand Five Hundred Dollars and No Cents (\$1,500.00) to the Claimant.

The claim against Respondent Ron Coleson is hereby dismissed.

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 Respondents Thomson McKinnon Securities, Inc. and Jim Haas.

October 25, 1989