

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-03361

Charles B. Van Horn, claimant v. LaCroix Alexander Financial Corp. and GPS Consultants Corp.,
respondents.

ATTORNEYS:

Claimant appeared Pro Se. - Visalia, CA.

For Respondents

Dan R. Waller, Esq., of the firm, Secore & Waller - Dallas, TX.

DATE FILED: August 8, 1996.

CASE SUMMARY: Claimant alleged negligence, misrepresentations, omissions and excessive
commissions regarding investment in the VR LTD. II Limited Partnership units.

Claim Data

Claim: \$10,000.00

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$9,872.60 plus interest at the
rate of 10% per annum from 3/18/94
to the date of award

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues
submitted for determination as follows: 1) Respondent LaCroix Alexander Financial Corp. is liable and
shall pay to the claimant \$9,872.60 plus interest at the rate of 10% per annum from March 18, 1994 to
the date of award. 3) Claimant's claims against respondent GPS Consultants Corp. are dismissed in their
entirety. 4) All requests for punitive damages are denied. 5) All other requests for relief are denied. 6)
The \$150.00 filing fee previously deposited by the claimant with the National Association of Securities
Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Ed Gartenberg, Esq., do hereby affirm, upon my oath as arbitrator that I am the individual described
herein who executed this instrument, which is my oath and award.


Ed Gartenberg, Esq.

June 24, 1997

Date of award