

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

CASE: 96-03687

Burt F. Maguire, claimant v. LaCroix Alexander Financial Corp. and GPS Consulting Corp.,
respondents.

ATTORNEYS:

For Claimant

Claimant appeared Pro Se., St Augustine, FL.

For Respondents

Dan R. Waller, Esq. - Dallas, TX.

DATE FILED: 8/26/96

CASE SUMMARY: Claimant alleged misrepresentation regarding his investment in an oil and
gas joint venture.

Claim Data

Claim: \$10,000.00

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$.00

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) The claims of claimant are dismissed in
their entirety. 2) All other requests for relief are denied. 3) 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, **James A. Smith IV**, 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.


James A. Smith, IV

June 5, 1997

Date of award