

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

CASE: 96-04202

Kenneth R. Gaarder, IRA, claimant vs. William L. Roberts and First Potomac Investment Services, Inc., respondents.

Claimant appeared Pro Se. - Chevy Chase, MD.

Respondent William L. Roberts appeared Pro Se - Falls Church, VA.

Respondent First Potomac Investment Services, Inc. appeared Pro Se, through it's President, Herbert J. Millard - Falls Church, VA.

DATE FILED: September 20, 1996

CASE SUMMARY: Claimant alleged that respondent failed to follow the investment plan they agreed on regarding his IRA investments in Battery Technologists, Inc. and Total Research Corporation common stock.

Claim Data

Claim: \$2,155.64
Punitive: \$300.00
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 requests for punitive damages are denied. 3) All other requests for relief are denied. 4) The \$50.00 filing fee previously deposited with National Association of Securities Dealers Regulation, Inc. by the Claimant shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Gerald P. LeNoir, 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.


Gerald P. LeNoir

August 11, 1997

Date of award