

**AWARD**

NASD Regulation, Inc. Office of Dispute Resolution

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In the Matter of the Arbitration Between

Patricia R. Maki and Kathleen S. Hodgkiss,  
Co-Trustees of the Robert M. Hynes  
Declaration of Trust U/A/D June 21, 1994,

Claimants.

and

No. 96-05163

Primevest Financial Services, Inc.,  
and Carroll Baldwin,

Respondents.

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**REPRESENTATION OF PARTIES**

Claimants Patricia R. Maki and Kathleen S. Hodgkiss, Co-Trustees of the Robert M. Hynes Declaration of Trust U/A/D June 21, 1994 ("Claimants") were represented by James R. Williams, Esq. of Suttons Bay, Michigan.

Respondent Primevest Financial Services, Inc. ("Primevest") was represented by Kevin P. Maas, Esq. of Primevest Financial Services, Inc. located in St. Cloud, Minnesota.

Respondent Carroll Baldwin ("Baldwin") appeared pro se.

**CASE INFORMATION**

The Statement of Claim was filed on or about November 20, 1996.

Claimant's Submission Agreement was signed on November 5, 1996 by Kathleen S. Hodgkiss and November 6, 1996 by Patricia R. Maki, Co-Trustees of the Robert M. Hynes Declaration of Trust U/A/D June 21, 1994.

Respondent Primevest's Statement of Answer was filed on or about February 19, 1997.

Respondent Primevest's Submission Agreement was signed on February 18, 1997 by Jeffrey A. Montgomery, General Counsel of Primevest Financial Services, Inc.

**FORUM FEES**

Forum fees are calculated at the rate of \$300 per hearing session and \$300 for each pre-hearing conference, if any. There were two (2) hearing sessions x \$300 = \$600 in forum fees. Total forum fees = \$600. Pursuant to § 10332(b) of the NASD Code of Arbitration Procedure ("Code"), a hearing session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with an arbitrator, which lasts four (4) hours or less.

Pursuant to § 10332(c) of the Code, NASD Regulation, Inc. Office of Dispute Resolution shall retain the non-refundable filing fee in the amount of \$100 and shall retain as forum fees the hearing session deposit in the amount of \$300 previously deposited with NASD Regulation, Inc. Office of Dispute Resolution by the Claimants (1/2 total forum fees).

Pursuant to § 10332(c) of the Code, Respondents Primevest Financial Services, Inc. and Carroll Baldwin are jointly and severally liable for and shall pay forum fees in the amount of \$300 (1/2 total forum fees).

**Fees are payable to NASD Regulation, Inc. Office of Dispute Resolution.**

**Concurring Arbitrators' Signatures**

/s/ Marvin I. Horowitz, Esq.  
Marvin I. Horowitz, Esq.  
Chairperson  
Public Arbitrator

December 1, 1997  
Dated:

/s/ Lawrence D. Rosenstock, Esq.  
Lawrence D. Rosenstock, Esq.  
Panelist  
Public Arbitrator

December 1, 1997  
Dated:

/s/ Louis William Garver  
Louis William Garver  
Panelist  
Industry Arbitrator

November 19, 1997  
Dated:

For NASD use only:

Date Award was served on the parties: December 3, 1997