

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

CASE: 96-05660

Celia W. Andrews, claimant vs. LaCroix Alexander Financial Corp., respondent.

---

**ATTORNEYS:**

Claimant appeared Pro Se, Cincinnati, OH.

For Respondent LaCroix Alexander Financial Corp. appeared Dan R. Waller, Esq., of the law firm Secore & Waller, L.L.P., Dallas TX.

---

**DATE FILED:** December 23, 1996

---

**CASE SUMMARY:** Claimant alleged misrepresentation in connection with her investment in Three Star Fund 94-1 Joint Venture, an Oil & Gas Venture.

---

**Claim Data**

Claim: \$5,000.00  
Punitive: \$4,500.00  
Atty Fees: \$.00  
Filing Fees: \$150.00  
Other: \$.00

---

**Award Data**

Award: \$4,937.84  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$150.00  
Other: \$.00

---

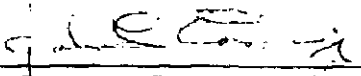
**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$4,937.84 2) All other requests for relief are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by claimant, shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

---

**OTHER ISSUES:** The arbitrator denied respondent's request for a hearing pursuant to Rule 10302(f) of the NASD Code of Arbitration Procedure.

AFFIRMATION

I, John L. Evans Jr., 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.

  
\_\_\_\_\_  
John L. Evans Jr., Esq.

August 11, 1997  
\_\_\_\_\_  
Date of award