

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-00537

Thomas Leahy, claimant vs. Patrick Joseph Leahy, respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Huntington Beach, CA.

Respondent did not respond to the Statement of Claim.

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DATE FILED: February 7, 2000

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**CASE SUMMARY:** Claimant alleged that the respondent purchased and sold shares of stock in his account without his knowledge or authorization.

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**ARBITRATOR'S REPORT:** Based upon all the papers, pleadings and other documentation contained within the file, the Respondent, having failed to respond or file any answer to the claim of the Claimant, default judgement is awarded to the Claimant, Thomas Leahy against the Respondent Patrick Leahy in the sum of \$24,000. Each party is to bear their own costs.

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**Claim Data**

Claim: \$24,000.00

**Award Data**

Award: \$24,000.00

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**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 \$24,000.00. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, J. P. Turner & Co., LLC has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

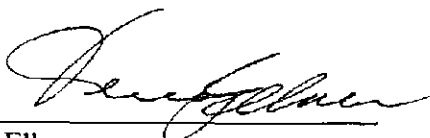
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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent was served notice of the Statement of Claim, Overdue Notice, and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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**AFFIRMATION**

I, Jerry Ellner, 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.

  
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Jerry Ellner

February 15, 2001  
Date of award