

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

CASE: #00-01078

SunAmerica Securities, Inc., claimant vs. Alvin Patrick Vaughn, respondent.

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**ATTORNEYS:**

For Claimant appeared in-house counsel, Edwin Barkel, Phoenix, AZ

Respondent appeared Pro Se, Silver Spring, MD

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DATE FILED: March 10, 2000

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**CASE SUMMARY:** Claimant alleged that respondent owed unearned compensation with respect to improperly handled transactions in the Boston Capital Direct Participation Program.

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**Claim Data**

Claim: \$4,745.89  
Interest: 10% pa until paid  
  
Atty Fees/Costs: Unspecified  
Filing Fees: \$525.00  
Other: Unspecified

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**Award Data**

Award: \$4,745.89  
Interest: 10% pa from 1/15/99 to date of award  
Atty Fees: \$.00  
Filing Fees: \$525.00  
Other: \$.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 \$4,745.89. 2) Respondent is liable and shall pay to claimant interest at the rate of 10% per annum from 1/15/99 to date of award. 3) All requests for attorney fees and costs are denied. 4) All other relief requests are denied. 5) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay claimant \$525.00 as reimbursement of the filing fee.

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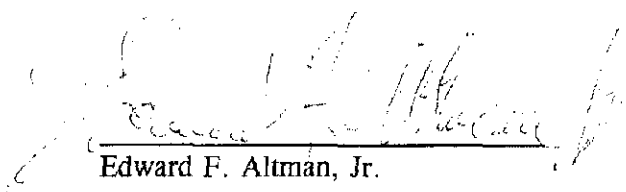
**OTHER FEES:** Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award #00-01078

**AFFIRMATION**

I, Edward F. Altman, 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.



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Edward F. Altman, Jr.

October 9, 2000  
Date of award