

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03737

Robert N. Caires, claimant vs. David L. Rutkoske and Cris Harris, respondents.

ATTORNEYS:

Claimant, Robert N. Caires, appeared Pro Se, San Diego, CA.

For Respondents, David Rutkoske ("Rutkoske") and Cris Harris ("Harris") appeared David E. Graven, Esq., of Counsel, Aurora, CO.

DATE FILED: August 21, 2000

CASE SUMMARY: Claimant alleged respondent failed to pay out compensation, commissions and vacation pay after claimant's resignation from the firm.

Claim Data

Claim: \$7,037.40

Interest: \$187.66

Filing Fees: \$325.00

Award Data

Award: \$7,037.40

Interest: \$187.66 (8% per annum x 120 days)

Filing Fees: \$325.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Rutkoske is liable and shall pay to the claimant \$7,037.40. 2) Respondent Rutkoske is liable and shall pay to the claimant \$187.66 in interest. 3) Claims against respondent Harris are dismissed in their entirety. 3) All other relief requests are denied. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Lloyd Wade Securities, Inc. has not paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

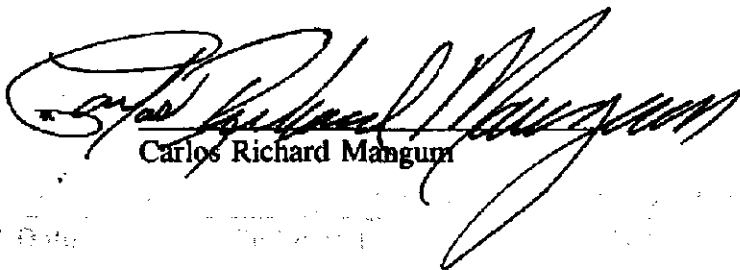
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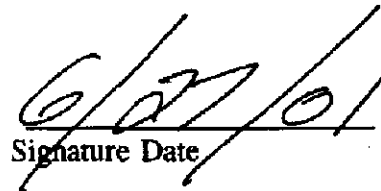
Carlos Richard Mangum

Non-Public Arbitrator

AFFIRMATION

I, Carlos Richard Mangum, 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.


Carlos Richard Mangum


Signature Date

August 7, 2001
Date of Service (for NASD office use only)