

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03798

Robert J. Doran, Claimant vs. Scott A. Nash, and J.B. Oxford & Co., Respondents.

ATTORNEYS:

Claimant, Robert J. Doran ("Claimant") appeared Pro Se, Monroeville, PA.

For Respondents, Scott A. Nash and J.B. Oxford & Co. ("Respondents"), appeared Scott G. Monson, Beverly Hills, CA.

DATE FILED: August 31, 2000.

CASE SUMMARY: Claimant alleged Respondent Nash failed to determine Claimant's investment objective prior to accepting his investment order. Claimant further alleged that J.B. Oxford failed to supervise Nash's actions. As a result of Respondents' actions, Claimant suffered a loss.

Claim Data

Claim: \$15,890.00
Punitive: \$9,110.00
Atty Fees: Unspecified request
Interest: \$3,990.00

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Interest: \$.00

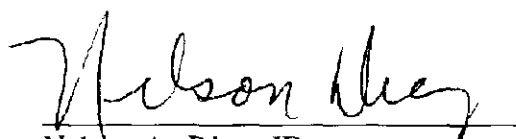
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The Claimant's claims are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for attorneys' fees are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant shall be retained by NASD Dispute Resolution, Inc.

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

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Award 00-3798

AFFIRMATION

I, Nelson A. Diaz, 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.


Nelson A. Diaz, JD

March 23, 2001

Date of award