

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04036

Lucy E. Thater, Claimant vs. Michael B. Ballard and ProEquities, Inc., Respondents.

ATTORNEYS:

Claimant, Lucy Thater, ("Claimant"), appeared Pro Se., Hauppauge, NY.

Respondents, Michael B. Ballard and ProEquities, Inc., (collectively "Respondents"), appeared though their Senior Compliance Office, Donna A. Byrne, Birmingham, AL.

DATE FILED: September 14, 2000

CASE SUMMARY: Claimant alleged that Respondents breached their contractual agreement and failed to pay commissions that are owed to her.

Claim Data

Claim: \$13,519.00

Other: unspecified

Award Data

Award: \$.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) The claims of Claimant are dismissed in their entirety. 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.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, ProEquities, Inc. has paid to NASD Dispute Resolution, Inc. \$300.00 of the \$400.00 Member Surcharge previously invoiced. Balance outstanding \$100.00

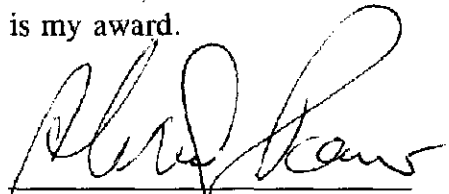
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Alexandra J. Romero

Sole Non-Public Arbitrator

AFFIRMATION

I, Alexandra J. Romero, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Alexandra J. Romero

06/15/01
Date of Award