

Award
NASD Dispute Resolution, Inc.

In the Matter of the Arbitration Between:

Michael A. Jones, Claimant v. Hampton Securities, Inc., Patrick A. Anthony, Capital One Securities, Inc., and Karen E. Fuller Respondents

Case Number: 00-04522

Hearing Site: Los Angeles, California

REPRESENTATION OF PARTIES

For Claimant:

Burke W. Willsey, Esq.
Law Office of Burke W.
Willsey
Pasadena, California

For Respondents Hampton Securities, Inc., and
Patrick A. Anthony:

Lawrence I. Washor, Esq.
Washor & Associates
Los Angeles, California

CASE INFORMATION

Statement of Claim filed: December 13, 2000

Claimant's Uniform Submission Agreement signed: August 23, 2000

Statement of Answer filed by Respondents Hampton Securities, Inc., Patrick A. Anthony, Capital One Securities, Inc., and Karen Fuller: None Filed

Respondent Hampton Securities, Inc.'s Uniform Submission Agreement signed: None Filed

Respondent Patrick A. Anthony's Uniform Submission Agreement signed: None Filed

Respondent Capital One Securities, Inc.'s Uniform Submission Agreement signed: None Filed

Respondent Karen Fuller's Uniform Submission Agreement signed: None Filed

CASE SUMMARY

Claimant alleged breach of employment contract and conversion.

RELIEF REQUESTED

Claimant requested \$120,000.00 in compensatory damages, return of personal property, and release of warrants.

OTHER ISSUES CONSIDERED AND DECIDED

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, testimony, and evidence presented at the hearing, the Panel decided in full and final resolution of the issues submitted for determination as follows:

- 1) All of the Claimants' claims are denied in their entirety.
- 2) The parties shall bear their respective costs, including attorney's fees.
- 3) All other relief requested and not expressly granted is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution, Inc. received or will collect the non-refundable filing fees for each claim as follows:

Initial claim filing fee	= \$ 300.00
--------------------------	-------------

Member Fees

Member fees are assessed to each member firm that is either a party in the matter or an employer of a respondent associated person at the time of the events, which gave rise to the dispute, claim, or controversy. Accordingly, the member firm Hampton Securities, Inc. is a party and the following fees are assessed:

Member Surcharge	= \$ 1,500.00
Pre-Hearing Process Fee	= \$ 600.00
<u>Hearing Process Fee</u>	<u>= \$ 2,500.00</u>
Total Member Fees	= \$ 4,600.00

Forum Fees and Assessments

The Arbitrator/Panel assessed a forum fee for each pre-hearing conference or hearing session conducted. A pre-hearing conference and hearing session is any meeting between the parties and the Chair/Panel. The following fees are assessed:

2 Pre-hearing conference sessions with the Panel @ \$1125.00/session	= \$ 2,250.00
Pre-hearing conferences:	
September 10, 2001	1 session
December 6, 2001	1 session
1 Hearing session @ \$1,125.00/session	= \$ 1,125.00
Hearing:	
March 18, 2002	1 session
Total Forum Fees	= \$ 3,375.00

The Panel assessed \$ 3,375.00 of the forum fees to Claimant, Michael A. Jones.

Fee Summary

1. Claimant, Michael A. Jones, is charged with the following fees and costs:

Initial Filing Fee	= \$ 300.00
Forum Fees	= \$ 3,375.00
Total Fees	= \$ 3,675.00
Less payments	= \$(1,425.00)
Balance Due NASD Dispute Resolution, Inc.	= \$ 2,250.00

2. Respondent, Hampton Securities, Inc., is charged with the following fees and costs:

Member Fees	= \$ 4,600.00
Total Fees	= \$ 4,600.00
Less payments	= \$ (0.00)
Balance Due NASD Dispute Resolution, Inc.	= \$ 4,600.00

All balances are payable to NASD Dispute Resolution, Inc. and are due upon the receipt of the Award pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Dana L. Bigman	-	Public Arbitrator, Presiding Chair
Andrew M. Mintzer	-	Public Arbitrator
William L. Hildeburn, Jr.	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

Dana L. Bigman
Chair, Public Arbitrator

Signature Date

Andrew M. Mintzer, CPA
Public Arbitrator

Signature Date

William L. Hildeburn, Jr.
Non-Public Arbitrator

Signature Date

4/12/02
Date of Service

NASD Dispute Resolution, Inc.

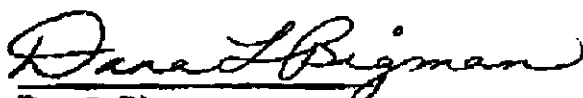
Arbitration No. 00-04522

Award Page 4 of 4

ARBITRATION PANEL

Dana L. Bigman	-	Public Arbitrator, Presiding Chair
Andrew M. Mintzer	-	Public Arbitrator
William L. Hildeburn, Jr.	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures



Dana L. Bigman
Chair, Public Arbitrator

4/11/02
Signature Date

Andrew M. Mintzer, CPA
Public Arbitrator

Signature Date

William L. Hildeburn, Jr.
Non-Public Arbitrator

Signature Date

4/12/02
Date of Service

ARBITRATION PANEL

Dana L. Bigman	-	Public Arbitrator, Presiding Chair
Andrew M. Mintzer	-	Public Arbitrator
William L. Hildeburn, Jr.	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

Dana L. Bigman
Chair, Public Arbitrator



Andrew M. Mintzer, CPA
Public Arbitrator

Signature Date

4/11/02

Signature Date

William L. Hildeburn, Jr.
Non-Public Arbitrator

Signature Date

4/12/02

Date of Service

ARBITRATION PANEL

Dana L. Bigman	-	Public Arbitrator, Presiding Chair
Andrew M. Mintzer	-	Public Arbitrator
William L. Hildeburn, Jr.	-	Non-Public Arbitrator

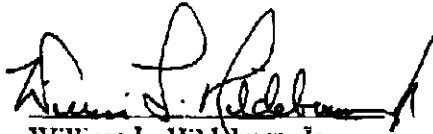
Concurring Arbitrators' Signatures

Dana L. Bigman
Chair, Public Arbitrator

Signature Date

Andrew M. Mintzer, CPA
Public Arbitrator

Signature Date



William L. Hildeburn, Jr.
Non-Public Arbitrator

April 10, 2002

Signature Date

4/12/02

Date of Service