

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-04939

First Union Securities Incorporated, claimant vs. Sarah Jane Hawthorne, respondent.

ATTORNEYS:

For Claimant appeared, James A. Vollins, Esq., Vice President and Associate Counsel, Charlotte, NC.

Respondent did not respond to the Statement of Claim.

DATE FILED: November 7, 2000.

CASE SUMMARY: Claimant alleged that respondent failed to repay a debit in her securities account.

Claim Data

Claim: \$5,425.33

Interest: unspecified

Attorney Fees: unspecified

Filing Fees: unspecified

Other: unspecified

Award Data

Award: \$5,425.33

Interest: 10% per annum
from January 13, 2000
until date of the award.

Attorney Fees: \$.00

Filing Fees: \$750.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$5,425.33. 2) Respondent is liable and shall pay to the claimant interest at a rate of 10% per annum from January 13, 2000 until the date of the award. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. The \$750.00 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, claimant has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail and is therefore bound by the arbitrator's ruling and determination.

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Award 00-04939

Mitchell B. Goldberg, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Mitchell B. Goldberg, 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.

Mitchell B. Goldberg
Mitchell B. Goldberg, Esq.

August 13, 2001
Signature Date

August 23, 2001
Date of service (for NASD office use only)