

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-04995

PaineWebber Incorporated, claimant vs. John Graves, respondent.

ATTORNEYS:

For Claimant appeared Lisa A. Catalano, Esq., of the law offices of Joel E. Davidson, Park Ridge, NJ.

Respondent appeared Pro Se, East Hampton, NY.

DATE FILED: November 10, 2000

CASE SUMMARY: Claimant alleged that respondent failed to pay the unsecured debit balance in his account.

Claim Data

Claim: \$20,280.10
Attorney Fees: unspecified
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$20,280.10
Attorney Fees: \$.00
Filing Fees: \$525.00
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 \$20,280.10. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) The \$1,050.00 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 \$525.00 as reimbursement of half the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-04995

Robert W. Cockren, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Robert W. Cockren, Esq., 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.


Robert W. Cockren/ Esq.

Oct. 26, 2001
Signature Date

October 26, 2001
Date of Service (For NASD-DR office use only)