

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-05279

First Union Securities, Inc., claimant vs. Daron E. McMillan, respondent.

ATTORNEYS:

For Claimant appeared Diane C. Fischer, Esq., of the firm Kane & Fischer, Ltd., Chicago, IL.

For Respondent appeared Timothy J. Jensen, Esq., Auburn, CA.

DATE FILED: November 29, 2000

CASE SUMMARY: Claimant alleged that respondent failed to pay the balance owed on his promissory note.

Claim Data

Claim: \$17,539.02

Interest: at 6% totalling \$74.88

Interest: unspecified

Attorney Fees: unspecified

Filing Fees: unspecified

Other: unspecified

Award Data

Award: \$17,539.02

Interest: accrued interest totalling
\$74.88

Interest: at 9% per annum from March
7, 2000 to July 9, 2001 totalling
\$2,112.48.

Attorney Fees: \$1,813.50

Filing Fees: \$1,050.00

Other: \$1,684.29

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 \$17,539.02. 2) Respondent is liable and shall pay to the claimant accrued interest totalling \$74.88. 3) Respondent is liable and shall pay to the claimant interest at a rate of 9% per annum from March 7, 2000 to July 9, 2001, totalling \$2,112.48. 4) Respondent is liable and shall pay to the claimant attorney fees in the amount of \$1,813.50 according to claimant's request. 5) Respondent is liable and shall pay to the claimant additional damages in the amount of \$1,684.29. 6) All other relief requests are denied. 7) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 8) Respondent is liable and shall pay claimant \$1,050.00 as reimbursement of 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.

Page Two
Award 00-05279

Douglas E. DeTata

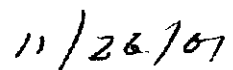
Sole Public Arbitrator

AFFIRMATION

I, Douglas E. DeTata, 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.



Douglas E. DeTata



Signature Date

December 19, 2001
Date of Service (For NASD-DR office use only)