

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00425

Thomas Leahy, claimant vs. J.W. Barclay & Co. and John Bruno, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Las Vegas, NV.

For Respondents appeared John Bruno, President, Woodbridge, NJ.

DATE FILED: January 26, 2001

CASE SUMMARY: Claimant alleged that respondents failed to timely execute the transfer of his account, thereby causing a loss.

COUNTERCLAIM: Respondent in its counterclaim alleged harassment and requested that the matter be expunged from its CRD records.

Claim Data

Claim: \$14,300.00
Punitive: \$7,600.00
Interest: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00

Counterclaim Data

Counterclaim: \$10,000.00

Counterclaim Award Data

Award: \$.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 requests for punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

COUNTERCLAIM: 1) Respondent's counterclaim for monetary relief is dismissed in its entirety. 2) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent J. W. Barclay & Co. and John Bruno registration records maintained by the NASD Central Registration Depository ('CRD'), with the understanding that pursuant to NASD Notice to Members 99-09, Respondents J. W. Barclay and John Bruno must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

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OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, J.W. Barclay has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

Glen W. Hanne

Sole Public Arbitrator

AFFIRMATION

I, Glen W. Hanne, 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.


Glen W. Hanne

10-8-01
Signature Date

10/17/01
Date of Service (For NASD-DR office use only)