

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 01-00790

First Union Securities, Inc., claimant/counterclaim respondent vs. Ian K. Stowers,  
respondent/counterclaim claimant.

---

**ATTORNEYS:**

For Claimant appeared Renan I. Sugarman, Esq., in-house counsel, Chicago, IL.

For Respondent appeared Mark R. Wietstock, Esq., Ventura, CA.

---

**DATE FILED:** February 16, 2001

---

**CASE SUMMARY:** Claimant alleged that respondent failed to repay an overdraw deficit balance prior to terminating his employment with them.

**COUNTERCLAIM CASE SUMMARY:** Counterclaim Claimant, Ian Stowers, alleged that due to counterclaim respondent's changes to the terms and condition of his employment, he terminated his employment with counterclaim respondent which caused damages.

---

**Claim Data**

Claim: \$3,733.21  
Interest: \$109.34  
Attorney Fees: \$500.00  
Filing Fees: \$525.00

---

**Award Data**

Award: \$3,733.21  
Interest: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$.00

---

**Counterclaim Data**

Claim: \$10,000.00

---

**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) Respondent is liable and shall pay to the claimant \$3,733.21. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

**COUNTERCLAIM AWARD:** The undersigned arbitrator has decided and determined in full and final resolution the issues submitted for determination as follows: 1) The claims of counterclaim claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the counterclaim claimant, shall be retained by NASD Dispute Resolution, Inc.

---

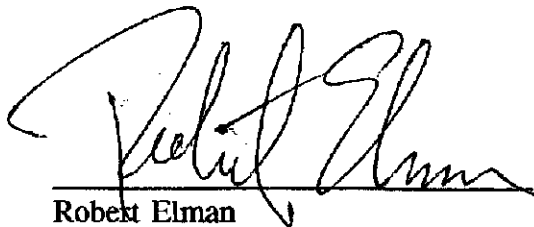
**OTHER FEES:** Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

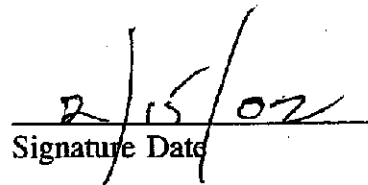
Robert Elman

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Robert Elman, 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.

  
Robert Elman

  
Signature Date

February 21, 2002  
Date of Service (For NASD-DR office use only)