

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

CASE:01-01407

Wayne G. Lyle, claimant vs. Jay W. Peterson, respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Littleton, CO.

Respondent did not submit a response to the Statement of Claim.

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DATE FILED: March 20, 2001

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**CASE SUMMARY:** Claimant alleged that Respondent promised to inform Claimant if Respondent took certain actions. Respondent took said actions, and did not inform Claimant, causing a loss to Claimant because of negligence, breach of fiduciary duty, and breach of contract.

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**Claim Data**

Claim: \$5,000.00  
Filing Fees: unspecified  
Interest: unspecified

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**Award Data**

Award: \$2,000.00  
Filing Fees: \$175.00  
Interest: at 6% per annum from May 1, 2000 until payment of the award.

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**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 \$2,000.00. 2) Respondent is liable and shall pay to the claimant interest at a rate of 6% per annum from May 1, 2000 until payment of this award. 3) All other relief requests are denied. 4) The \$175.00 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 \$175.00 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code of Professional Ethics, the Investment, Inc. has not paid to the NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Jay H. Peterson, although named as Jay W. Peterson in the complaint was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitration by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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Award 01-01407

Jess Burton Cohen

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Sole Public Arbitrator

**AFFIRMATION**

I, Jess Burton Cohen, 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.

Jess Burton Cohen  
Jess Burton Cohen

December 18, 2001  
Signature Date

January 11, 2002  
Date of Service (For NASD-DR office use only)