

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 01-02432

Dennis J. Donnelly, claimant vs. H.D. Vest Investment Securities, Inc., respondent.

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**ATTORNEYS:**

Claimant/Counterclaim Respondent appeared pro se, Donaldsonville, LA.

For Respondent/Counterclaim Claimant appeared in-house counsel, R. Bredt Norwood, Esq., Irving, TX.

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DATE FILED: May 9, 2001

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**CASE SUMMARY:** Claimant/counterclaim respondent alleged that respondent/counterclaim claimant erroneously withheld commissions on a trade.

**COUNTERCLAIM SUMMARY:** Respondent/Counterclaim Respondent alleged that claimant/counterclaim respondent failed to pay the debit balance in his account.

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**Claim Data**

Claim: \$323.50  
Filing Fees: Unspecified  
Other: Unspecified

**Award Data**

Award: \$.00  
Filing Fees: \$25.00  
Other: \$.00

**Counterclaim Data**

Claim: \$517.86  
Interest: Unspecified  
Attorney Fees: Unspecified  
Cost: Unspecified  
Other: Unspecified

**Award Data**

Award: \$.00  
Interest: \$.00  
Attorney Fees: \$.00  
Cost: \$.00  
Other: \$.00

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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) The claims of claimant/counterclaim respondent are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the claimant/counterclaim respondent, shall be retained by NASD Dispute Resolution. 4) Respondent/counterclaim claimant is liable and shall pay claimant \$25.00 as reimbursement of one-half of the filing fee.

**COUNTERCLAIM 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 respondent/counterclaim claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$225.00 filing fee previously deposited with NASD Dispute Resolution by the

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respondent/counterclaim claimant, shall be retained by NASD Dispute Resolution.

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OTHER FEES: Pursuant to Rule 10333 of the Code, respondent/counterclaim claimant has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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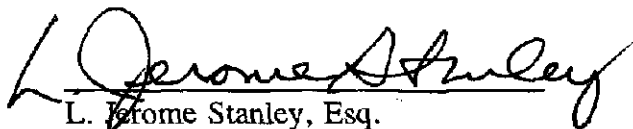
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L. Jerome Stanley, Esq.

Sole Non-Public Arbitrator

**AFFIRMATION**

I, L. Jerome Stanley, Esq., 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.

  
L. Jerome Stanley, Esq.

  
Signature Date

November 13, 2002

Date of Service (For NASD-DR office use only)