

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-02681

Jimmie Johns, claimant vs. Lee Brooks, respondent.

ATTORNEYS:

Claimant appeared pro se, Springdale, AR.

Respondent appeared pro se, Springdale, AR.

DATE FILED: May 22, 2001

CASE SUMMARY: Claimant alleged that respondent traded stocks in his account without his knowledge or authorization. Claimant maintained that the unauthorized trades created a loss in his account.

ARBITRATOR'S REPORT: See attached Exhibit A.

Claim Data

Claim: \$4,486.25
Punitive: \$5,000.00
Interest: \$.00

Filing Fees: \$325.00
Other: \$300.00

Award Data

Award: \$1,665.00
Punitive: \$.00
Interest: at a rate of 10% per annum
from 12/6/00 - 11/19/01
Filing Fees: \$162.50
Other: \$.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 \$1,665.00. 2) All requests for punitive damages are denied. 3) Respondent is liable and shall pay claimant interest at a rate of 10% per annum from December 6, 2000 - November 19, 2001. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay claimant \$162.50 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, First Allied Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

Page Two
Award 01-02681

Robert E. Hornberger, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Robert E. Hornberger, 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.



Robert E. Hornberger, Esq.

12/4/01

Signature Date

December 19, 2001

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