

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04833

Lombard Securities Incorporated, claimant vs. Diane Wyman, respondent.

ATTORNEYS:

For Claimant appeared Dana N. Pescosolido, Esq., Saul Ewing LLP, Baltimore, MD.

For Respondent appeared Gregory J. Bernard, Esq., Thomas Nooney Braun Solay & Bernard, LLP, Rapid City, SD.

DATE FILED: August 16, 2002

CASE SUMMARY: Claimant alleged that respondent breached the Client Account Agreement to arbitrate, causing claimant unnecessary legal fees.

Claim Data

Claim: \$24,470.43

Filing Fees: \$.00

Award Data

Award: \$.00

Filing Fees: \$525.00

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 other relief requests are denied. 3) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 4) Respondent is liable and shall pay claimant \$525.00 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

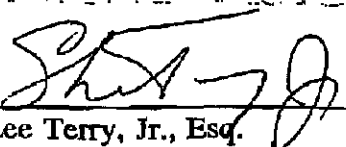
Page Two
Award 02-04833

S. Lee Terry, Jr., Esq.

Sole Public Arbitrator

AFFIRMATION

I, S. Lee Terry, Jr., 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.


S. Lee Terry, Jr., Esq.

1-13-03
Signature Date

January 17, 2003
Date of Service (For NASD-DR office use only)