

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05534

Warren Karl Hansen, Claimant vs. Katherine Renee Cook, Respondent.

ATTORNEYS:

Claimant, Warren Karl Hansen ("Claimant") appeared pro se., Boca Raton, FL.

Respondent, Katherine Renee Cook ("Respondent") appeared pro se., Dallas, TX

DATE FILED: September 18, 2002

CASE SUMMARY: Claimant alleged that Respondent violated NASD Code of Procedure, Rule 10201 and filed a civil suit in a Texas court. Claimant maintained that due to Respondent's action, he was forced to seek legal representation and suffered financial losses.

Claim Data

Claim: \$5,000.00
Punitive: \$5,000.00
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$1,000.00
Punitive: \$.00
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 \$1,000.00. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay Claimant \$162.50 as reimbursement of one half of the filing fee.

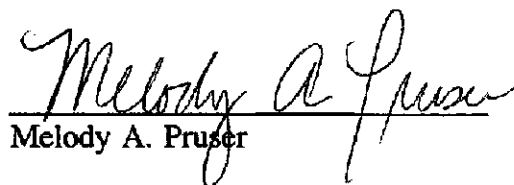
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Award 02-05534


Melody A. Pruser

Sole Non-Public Arbitrator

AFFIRMATION

I, Melody A. Pruser, 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.


Melody A. Pruser


Signature Date

May 23, 2003

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