

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Wachovia Securities, Inc.,

Case Number: 02-06292

Claimant,

vs.

Donald Bosse,

Hearing Site: Houston, Texas

Respondent.

Nature of Case: Member vs. Associated Person

REPRESENTATION OF PARTIES

Claimant Wachovia Securities, Inc., hereinafter referred to as "Claimant," was represented by Douglas D. Callaway, Esq. of Wachovia Securities, Inc. located in Richmond, Virginia.

Respondent Donald Bosse, hereinafter referred to as "Respondent," appeared pro se.

CASE INFORMATION

The Statement of Claim was filed on or about October 22, 2002.

The Claimant signed the Uniform Submission Agreement on October 16, 2002.

Respondent did not file a Statement of Answer or sign the Uniform Submission Agreement.

CASE SUMMARY

This was an action by a securities firm to recover the balance due pursuant to a promissory note given to a former employee, Donald Bosse. According to the Statement of Claim, Respondent has failed and refused to honor his obligations under the note that requires him to repay the outstanding principal balance, interest, plus costs and expenses of collection.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested:

Compensatory Damages:	\$50,000.00
Interest:	Unspecified
Attorneys' Fees:	Unspecified
Costs:	Unspecified

Other:

Unspecified

OTHER ISSUES CONSIDERED AND DECIDED

Respondent did not file with NASD Dispute Resolution a properly executed submission to arbitration but is required to submit to arbitration pursuant to the Code and having appeared and testified at the hearing is bound by the determination of the Panel on all issues submitted.

The parties agree that the award in this matter may be executed in counterpart copies or that a handwritten, signed award may be entered. In either case, the parties have agreed to receive conformed copies of the award while the original(s) remain on file with the NASD Dispute Resolution, Inc.

AWARD

After considering the pleadings and the testimony and evidence presented at the hearing, the Arbitration Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent Donald Bosse is liable for and shall pay to Claimant Wachovia Securities, Inc. damages in the amount of \$59,796.92, inclusive of an award of interest, as well as costs in the amount of \$6,425.00 inclusive of NASD filing fees;
2. Any and all relief not specifically addressed herein is denied and dismissed with prejudice.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$ 1,000.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Wachovia Securities, Inc. is a member firm.

Member surcharge	= \$ 875.00
Pre-hearing process fee	= \$ 750.00
Hearing process fee	= \$ 1,000.00

Forum Fees and Assessments

The Panel has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with Panel @ \$600 = \$ 600.00
Pre-hearing conference: April 23, 2003 for one (1) session

One (1) hearing session with Panel @ \$600 = \$ 600.00
Hearing sessions: October 22, 2003 for one session

Total Forum Fees = \$ 1,200.00

1. The Panel has assessed ½ forum fees in the amount of \$600.00 to Claimant.
2. The Panel has assessed ½ forum fees in the amount of \$600.00 to Respondent.

Fee Summary

Claimant is liable for:

Initial Filing Fee	= \$ 1,000.00
Member Fees	= \$ 2,625.00
Forum Fees	= \$ 600.00
Total Fees	= \$ 4,225.00
Less payments	= \$ 4,225.00
Balance Due NASD Dispute Resolution	= \$ 00.00

Respondent is liable for:

Forum Fees	= \$ 600.00
Total Fees	= \$ 600.00
Less payments	= \$ 00.00
Balance Due NASD Dispute Resolution	= \$ 600.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Dolores Martin – Non-Public Arbitrator, Presiding Chairperson
Thomas H. Griffin – Non-Public Arbitrator
Eli Bensky – Non-Public Arbitrator

Concurring Arbitrators' Signature(s)

/s/

October 28, 2003

Dolores Martin
Non-Public Arbitrator, Presiding Chairperson

Signature Date

/s/

October 28, 2003

Thomas H. Griffin
Non-Public Arbitrator

Signature Date

/s/

October 28, 2003

Eli Bensky
Non-Public Arbitrator

Signature Date

October 28, 2003

Date of Service (For NASD Dispute Resolution use only)

**Award
NASD Dispute Resolution**

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RELIEF REQUESTED

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\$50,000.00

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Attorneys' Fees:	Unspecified
Costs:	Unspecified
Other:	Unspecified

OTHER ISSUES CONSIDERED AND DECIDED

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FEES

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Initial claim filing fee	= \$
1,000.00	

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Wachovia Securities, Inc. is a member firm.

Member surcharge	= \$
875.00	
Pre-hearing process fee	= \$
750.00	
Hearing process fee	
= \$ 1,000.00	

Forum Fees and Assessments

The Panel has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with Panel @ \$600	= \$
600.00	

Pre-hearing conference: April 23, 2003 for one (1) session

One (1) hearing session with Panel @ \$600	= \$
600.00	

Hearing sessions: October 22, 2003 for one session

Total Forum Fees	
= \$ 1,200.00	

- 1 The Panel has assessed $\frac{1}{2}$ forum fees in the amount of \$600.00 to Claimant.
- 2 The Panel has assessed $\frac{1}{2}$ forum fees in the amount of \$600.00 to Respondent.

Fee Summary

Claimant is liable for:

Initial Filing Fee	= \$
1,000.00	
Member Fees	= \$
2,625.00	
Forum Fees	= \$
600.00	
Total Fees	= \$
4,225.00	
Less payments	
= \$ 4,225.00	
Balance Due NASD Dispute Resolution	= \$
00.00	

Respondent is liable for:

Forum Fees	= \$
600.00	
Total Fees	= \$
600.00	

<u>Less payments</u>	= \$
<u>00.00</u> Balance Due NASD Dispute Resolution	= \$
600.00	

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Dolores Martin - Non-Public Arbitrator, Presiding Chairperson

Thomas H. Griffin - Non-Public Arbitrator

Eli Bensky - Non-Public Arbitrator

Concurring Arbitrators' Signature(s)

Dolores Martin

Dolores Martin
Non-Public Arbitrator, Presiding Chairperson

10-28-03
Signature Date

Thomas H. Griffin
Thomas H. Griffin
Non-Public Arbitrator

Signature Date

Eli Bensky
Eli Bensky
Non-Public Arbitrator

Signature Date

Date of Service (For NASD Dispute Resolution use only)

Concurring Arbitrators' Signature(s)

Dolores Martin
Non-Public Arbitrator, Presiding Chairperson



Thomas H. Griffin
Non-Public Arbitrator

Signature Date

10-28-03

Signature Date

Eli Bensky
Non-Public Arbitrator

Signature Date

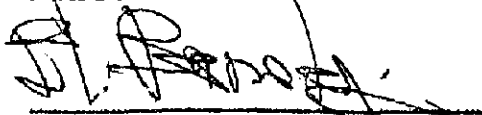
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