

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06364

First Montauk Securities Corp., claimant vs. Michael Vogt, respondent.

ATTORNEYS:

For Claimant appeared Bruce D. Oakes, Esq., Ballwin, MO.

Respondent did not respond to the Statement of Claim.

DATE FILED: October 23, 2002

CASE SUMMARY: Claimant alleged that respondent failed to repay monies owed pursuant to the terms of a Promissory Note. Claimant maintained that because of respondent's actions, the firm suffered a loss.

Claim Data

Claim: \$2,300.00

Interest: Unspecified

Attorney Fees: Unspecified

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$2,300.00

Interest: 8% p.a. from 4/30/02 until
date of payment of the award

Attorney Fees: \$0.00

Filing Fees: \$350.00

Other: \$0.00

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 \$2,300.00. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay claimant interest at the rate 8% per annum from April 30, 2002 until date of payment of the award. 4) All other relief requests are denied. 5) The \$350.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondent is liable and shall pay claimant \$350.00 as reimbursement of the filing fee.

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

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent, Michael Vogt, was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail, as evidenced by the signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

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Adam Lawrence Goldberg, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Adam Lawrence Goldberg, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Adam Lawrence Goldberg, Esq.

6/3/03
Signature Date

June 10, 2003

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