

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06365

First Montauk Securities Corp., claimant vs. John Hawley, respondent.

ATTORNEYS:

For Claimant appeared in-house counsel, Robert I. Rabinowitz, Esq., Red Bank, NJ.

Respondent appeared pro se, Bellport, NY.

DATE FILED: October 23, 2002

CASE SUMMARY: Claimant alleged that respondent failed to pay monies owed under a Promissory Note. Claimant maintained that due to respondent's actions, it suffered losses.

Claim Data

Claim: \$3,542.00
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$3,000.00
Interest: 8% per annum from 4/02 to 4/03
Attorney Fees: \$.00
Filing Fees: \$525.00
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 \$3,000.00. 2) Respondent is liable and shall pay claimant interest at a rate of 8% per annum from April 2002 through April 2003. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$525.00 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 \$525.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

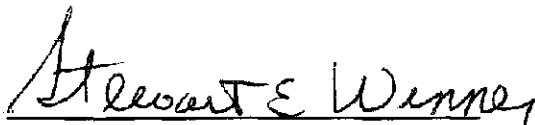
Page Two
Award 02-06365

Stewart E. Winner

Sole Non-Public Arbitrator

AFFIRMATION

I, Stewart E. Winner, 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.



Stewart E. Winner



Signature Date

September 4, 2003

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