

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-06693

RBC Dain Rauscher Inc., claimant vs. Patrick Wainscott, respondent.

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**ATTORNEYS:**

For Claimant appeared Allison C. Templeton, Esq., of the firm David H.S. Commins, San Francisco, CA.

Respondent did not respond to the Statement of Claim.

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**DATE FILED:** November 6, 2002

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**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.

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**Claim Data**

Claim: \$9,549.87

Interest: \$157.14

Attorney Fees: \$2,975.00

Filing Fees: Unspecified

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**Award Data**

Award: \$9,549.87

Interest: 5% p.a. from 6/21/02 to date  
of payment of the award.

Attorney Fees: \$1,500.00

Filing Fees: \$.00

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**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 \$9,549.87. 2) Respondent is liable and shall pay claimant \$1,500.00 for attorney fees as determined by the arbitrator. 3) Respondent is liable and shall pay claimant interest at the rate of 5% per annum from June 21, 2002 until date of payment of the award. 4 ) All other relief requests are denied. 5) The \$750.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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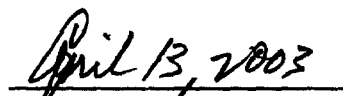
Gary Lee Abraham

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Gary Lee Abraham, 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.

  
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Gary Lee Abraham

  
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Signature Date

April 23, 2003

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