

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-07091

UBS Financial Services Inc., f/k/a UBS PaineWebber Inc., (Claimant) vs. Quinn P. Martin, (Respondent)

ATTORNEYS:

For Claimant appeared Mark A. Rosen, Esq., of the firm Davidson & Grannum, LLP, Boston, MA.

Respondent appeared pro se, Baton Rouge, LA.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: November 19, 2002

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing to repay monies owed pursuant to an Affidavit for Judgment by Confession. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$19,349.78
Interest: Unspecified

Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$19,349.78
Interest: granted at the rate of 4% per annum from date of award - date of full payment of award.
Filing Fees: \$1,050.00
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 \$19,349.78. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 4% per annum from date of award until date of full payment of award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$1,050.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 02-07091

Gunther Richard Michaelis

Sole Public Arbitrator

AFFIRMATION

I, Gunther Richard Michaelis, 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.


Gunther Richard Michaelis

November 14, 2005
(Signature Date)

DECEMBER 2, 2005
Date of Service (For NASD-DR office use only)