

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-07496

Prospera Financial Services, Inc., claimant vs. Tim Calaway, respondent.

ATTORNEYS:

For Claimant appeared in-house counsel John Stein, Dallas TX.

Respondent did not respond to the Statement of Claim.

DATE FILED: December 12, 2002

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

Claim Data

Claim: \$14,446.44
Punitive: \$5,000.00
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified
Interest: Unspecified

Award Data

Award: \$14,446.44
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$1,050.00
Other: \$.00
Interest: granted at the rate of 6% per annum from 7/29/02 to date of payment of award.

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 \$14,446.44. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) Respondent is liable and shall pay claimant interest at the rate of 6% per annum from July 29, 2002 until date of payment of award. 6) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 7) 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.

Page Two
Award 02-07496

W. Donald Parr

Sole Non-Public Arbitrator

AFFIRMATION

I, W. Donald Parr, 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.



W. Donald Parr

5.19.03

Signature Date

May 27, 2003

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