

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01292

UBS PaineWebber Inc., n/k/a UBS Financial Services Inc., Claimant vs. Jonathon Stanley, Respondent.

ATTORNEYS:

For Claimant appeared Lisa A. Catalano, Esq. of the Law Offices of Davidson, Manchel & Brennan, LLP, Northvale, NJ.

Respondent did not respond to the Statement of Claim.

DATE FILED: February 21, 2003

CASE SUMMARY: Claimant alleged that Respondent has failed to repay monies due representing the unforgiven and outstanding principal amount of an employee forgivable loan. Claimant maintained that due to Respondent's action, the corporation suffered financial loss.

Claim Data

Claim: \$18,942.40

Interest: \$2,208.95

Attorney Fees: \$608.60

Filing Fees: \$1,475.00

Other: Unspecified

Award Data

Award: \$18,942.40

Interest: At the rate of 6% per annum
from January 2003 to
payment

Attorney Fees: \$608.60

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 \$18,942.40. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 6% per annum from January 2003 to date of payment of award. 3) Respondent is liable and shall pay Claimant \$608.60 for attorney fees according to Claimant's request. 4) All other relief requests are denied. 5) The \$1,050.00 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 \$1,050.00 as reimbursement of the filing fee.

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

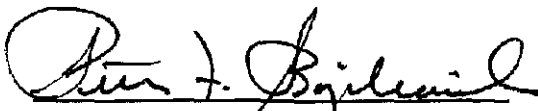
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Peter Frank Bozikovich

Sole Non-Public Arbitrator

AFFIRMATION

I, Peter Frank Bozikovich, 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.


Peter Frank Bozikovich

7-28-03
Signature Date

August 5, 2003
Date of Service (For NASD-DR office use only)