

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

CASE: 03-03918

Morgan Keegan & Company, Inc., Claimant v. James Luke Patterson, Respondent.

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**ATTORNEYS:**

For Claimant appeared in-house counsel J.P. Brizzolara, Esq., Memphis, TN.

Respondent did not respond to the Statement of Claim.

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**NATURE OF DISPUTE:** Member v. Associated Person

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**DATE FILED:** May 30, 2003

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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 due to Respondent's actions, the corporation suffered financial losses.

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**Claim Data**

Claim: \$10,000.00

Interest: \$1,913.00

Attorney Fees: \$2,250.00

Filing Fees: Unspecified

Other: Unspecified

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**Award Data**

Award: \$10,000.00

Interest: At the rate of 10% per annum from the date of execution to the date the award is paid in full

Attorney Fees: \$2,250.00

Filing Fees: \$750.00

Other: \$.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 \$10,000.00. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 10% per annum from the date of execution to the date the award is paid in full. 3) Respondent is liable and shall pay to the Claimant \$2,250.00 in attorney fees according to Claimant's request. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$750.00 as reimbursement of the filing fee.

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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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Award 03-03918

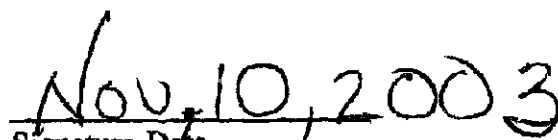
J. Mark Malone

Sole Non-Public Arbitrator

**AFFIRMATION**

I, J. Mark Malone, 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.

  
J. Mark Malone

  
Signature Date

November 20, 2003  
Date of Service (For NASD-DR office use only)

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**Award**  
**NASD Dispute Resolution**

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In the Matter of the Arbitration Between:

Name of the Claimant  
A.G. Edwards & Sons, Inc.

Case Number: 03-03919

Name of the Respondent  
Christopher R. Branden

Hearing Site: Orlando, Florida

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Nature of the Dispute: Member vs. Associated Person.

**REPRESENTATION OF PARTIES**

For A.G. Edwards & Sons, Inc., hereinafter referred to as "Claimant": Michael Naccarato, Litigation Counsel with Claimant, St. Louis, Missouri.

Christopher R. Branden, hereinafter referred to as "Respondent", appeared *pro se*.

**CASE INFORMATION**

Statement of Claim filed on or about: May 28, 2003.

Claimant signed the Uniform Submission Agreement: May 28, 2003.

Statement of Answer filed by Respondent on or about: July 23, 2003.

Respondent signed the Uniform Submission Agreement: July 23, 2003.

**CASE SUMMARY**

Claimant alleged a cause of action to recover a sum due and owing under Respondent's Training Agreement with Claimant.

Unless specifically admitted in his Answer, Respondent denied the allegations made in the Statement of Claim and asserted various defenses.

**RELIEF REQUESTED**

Claimant requested: 1) compensatory damages in the amount of \$31,666.00; 2) interest; and 3) costs.

Respondent requested dismissal of the Statement of Claim in its entirety.