

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

CASE: 03-05207

Brian P. Shaw, Claimant v. Jefferies & Company Inc., Respondent

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**ATTORNEYS:**

Claimant, Brian P. Shaw, ("Claimant"), appeared pro se, East Windsor, NJ.

Respondent, Jefferies & Company Inc., ("Respondent"), appeared through its in-house counsel Judith O. Kester, Esq., Los Angeles, CA.

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

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**DATE FILED:** July 16, 2003

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**CASE SUMMARY:** Claimant alleged that Respondent did not provide him with the common stock promised to him in his employment agreement. Claimant maintained that due to Respondent's action, he suffered financial losses.

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**Claim Data**

Claim: \$22,800.00  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$.00  
Filing Fees: \$.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) The claims of the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

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

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Award 03-05207


Mary Ann M. Melchiorre, Esq.

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Mary Ann M. Melchiorre, Esq., 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.

  
Mary Ann M. Melchiorre, Esq.

  
Signature Date

March 26, 2004

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