

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01136

Ryan Beck & Co., Inc, Claimant v. Theodore Clark Rosen, Respondent

ATTORNEYS:

For Claimant Ryan Beck & Co., Inc. ("Claimant") appeared Michael S. Colombo, President, Streetwide Asset Recovery Group, Inc., Lyndhurst, NJ.

Respondent Theodore Clark Rosen ("Respondent") did not make an appearance in this matter.

NATURE OF DISPUTE: Member v. Associated Person.

DATE FILED: February 20, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed pursuant to the terms of a promissory note.

Claim Data

Claim: \$13,874.21
Collection Fees: \$4,162.26
Filing Fees: \$875.00

Award Data

Award: \$13,874.21
Collection Fees: \$4,162.26
Filing Fees: \$1,050.00

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 \$13,874.21. 2) Respondent is liable and shall pay to the Claimant collection fees in the amount of \$4,162.26. 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 04-01136

Steven N. Fuller, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Steven N. Fuller, 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.



Steven N. Fuller, Esq.

October 19, 2004
Signature Date

October 27, 2004

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