

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

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CASE: 04-02176

Richard M. Hughes and Timothy M. Hughes Claimants vs. Trinix Securities, LLC, Respondent

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**ATTORNEYS:**

For Claimants, Richard M. Hughes and Timothy M. Hughes ("Claimants") appeared Frank A. Norris, Jr., Esq., of Great Eastern Securities, Inc., Syosset, NY.

For Respondent, Trinix Securities, LLC, ("Respondent") appeared Stephanie R. Finkelstein, Esq., of the firm Seyfarth Shaw, LLP, Los Angeles, CA.

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**NATURE OF DISPUTE:** Associated Persons vs. Member

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**DATE FILED:** March 30, 2004.

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**CASE SUMMARY:** Claimants alleged that Respondent failed to pay them commission owed pursuant to the terms of their employment agreement with Respondent.

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**Claim Data**

Claim: \$14,000.00  
Interest: \$1,039.00  
Attorney Fees: \$2,150.00  
Filing Fees: \$425.00  
Other: Unspecified

**Award Data**

Award: \$14,000.00  
Interest: \$.00  
Attorney Fees: \$2,150.00  
Filing Fees: \$425.00  
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 Claimants \$14,000.00. 2) Respondent is liable and shall pay to the Claimants attorneys' fee in the amount of \$2,150.00 as requested by the Claimants. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously. 6) Respondent is liable and shall pay to the Claimants \$425.00 as reimbursement of the filing fee.

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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 04-02176

Gilbert F. Bach, Sr., Esq. - Sole Non-Public Arbitrator

AFFIRMATION

I, Gilbert F. Bach, Sr., Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.

  
Gilbert F Bach, Sr., Esq.

  
Signature Date

October 25, 2004  
Date of Service (For NASD-DR office use only)