

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-03231

Amy A. O'Shields, Claimant v. Deutsche Bank Securities Inc., and Harold Walton Zinser, Jr.,
Respondents

ATTORNEYS:

Claimant, Amy A. O'Shields, ("Claimant") appeared *pro se*, Douglasville, GA.

For Respondents, Deutsche Bank Securities Inc., and Harold Walton Zinser, Jr., (collectively
"Respondents") appeared Lauren Malanga Casey, Esq., of the firm Epstein, Becker & Green,
P.C., New York, NY.

NATURE OF DISPUTE: Associated Person vs. Member and Associated Person.

DATE FILED: May 3, 2004.

CASE SUMMARY: Claimant alleged that Respondent breached the terms of a severance
agreement offered to her and has failed to pay monies owed to her. Due to Respondents' actions,
Claimant has suffered losses.

Claim Data

Claim: \$10,481.35

Punitive: \$14,500.00

Interest: \$78.60 per month from 7/11/03 until
date award is paid.

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$10,481.35

Punitive: \$.00

Interest: 5% p.a. from 7/11/03 until
date award is paid.

Filing Fees: \$0.00

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 Deutsche Bank Securities Inc.
is liable and shall pay to the Claimant \$10,481.35. 2) Respondent Deutsche Bank Securities Inc.
is liable and shall pay to the Claimant interest at a rate of five-percent (5%) per annum from July
11, 2003 until the date of payment of the award. 3) All requests for punitive damages are denied.
4) All other relief requests are denied. 5) NASD Dispute Resolution previously waived
Claimant's filing fee in the amount of \$125.00 and hearing session deposit in the amount of
\$300.00. 6) Respondent Deutsche Bank Securities, Inc., shall pay NASD Dispute Resolution
the \$425 filing fee.

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

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ARBITRATOR

David S. Saylor - Sole Non-Public Arbitrator

AFFIRMATION

I, David S. Saylor, 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.

David S. Saylor
David S. Saylor

1-7-05
Signature Date

January 11, 2005
Date of Service (For NASD-DR office use only)