

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

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CASE: 04-03870

Oliver Beirne Chisolm, Jr., Claimant v. Greenwich Global, LLC, Respondent

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**ATTORNEYS:**

Claimant Oliver Beirne Chisolm, Jr. ("Claimant") appeared *pro se*, Asheville, NC.

For Respondent Greenwich Global, LLC ("Respondent") appeared Randall C. Schauer, Esq., of the firm Fox Rothschild, LLP, Exton, PA.

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

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**DATE FILED:** May 28, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondent failed to pay him compensation owed. Claimant further alleged that Respondent breached its contract, theft of services, and illegal use of RIA. Claimant maintained that due to Respondent's actions, he suffered a financial loss.

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**Claim Data**

Claim: \$13,000.00  
Punitive: \$10,000.00  
Interest: \$840.00  
Filing Fees: \$425.00  
Other: \$.00

**Award Data**

Award: \$13,000.00  
Punitive: \$.00  
Interest: \$.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) Respondent is liable and shall pay to Claimant \$13,000.00. 2) All requests for punitive damages are denied. 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 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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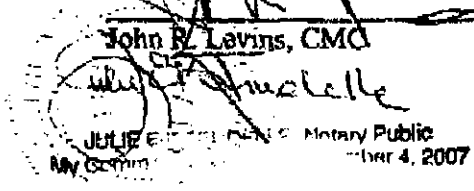
John R. Levins, CMC - Sole Non-Public Arbitrator

AFFIRMATION

I, John R. Levins, CMC, 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.

  
John R. Levins, CMC

11/3/04  
Signature Date

  
JULIE E. [illegible] Notary Public  
NY State, expires March 4, 2007

November 5, 2004  
Date of Service (For NASD-DR office use only)