

NASD DISPUTE RESOLUTION AWARD  
NASD DISPUTE RESOLUTION

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CASE: 04-04947

CIBC World Markets Corp., Claimant v. Carla Cooper, Respondent

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ATTORNEYS:

For Claimant CIBC World Markets Corp. ("Claimant") appeared Michelle A. Murphy, Esq., in-house counsel, CIBC World Markets Corp., New York, NY.

Respondent Carla Cooper ("Respondent") did not file a Statement of Answer in this matter.

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NATURE OF DISPUTE: Member v. Associated Person.

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DATE FILED: July 12, 2004.

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CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed pursuant to the terms of a promissory note and settlement agreement and release. Claimant maintained that due to Respondent's actions, the company suffered losses.

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Claim Data

Claim: \$5,917.00

Interest: at 8%

Interest: \$.00

Attorney Fees: Unspecified

Filing Fees: Unspecified

Award Data

Award: \$5,917.00

Interest: \$453.91 from 12/5/03 –  
11/20/04

Interest: 8% from 11/21/04 –  
date of payment of award

Attorney Fees: \$500.00

Filing Fees: \$750.00

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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 Claimant \$5,917.00. 2) Respondent is liable and shall pay to the Claimant interest in the amount of \$453.91, calculated at 8% from 12/5/03 through 11/20/04. 3) Respondent is liable and shall pay to the Claimant interest at the rate of 8% from 11/21/04 through the date of payment of the award. 4) Respondent is liable and shall pay to the Claimant attorney fees in the amount of \$500.00, pursuant to Rule 16-D, E NRCP 68 & NRS 17 and Rule 7-D NRS 281.030-3. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously. 7) Respondent is liable and shall pay Claimant \$750.00 as reimbursement of the filing fee.

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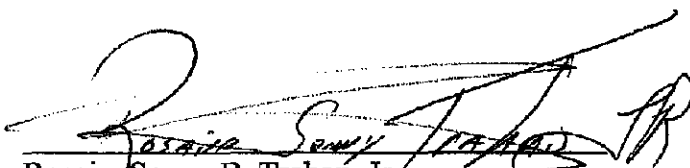
OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$750.00 Member Surcharge previously invoiced.

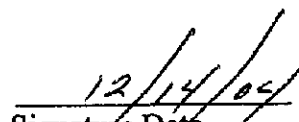
ARBITRATOR

Rosaire Sonny B. Trahan, Jr. - Sole Non-Public Arbitrator

AFFIRMATION

I, Rosaire Sonny B. Trahan, Jr., 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.

  
Rosaire Sonny B. Trahan, Jr.

  
Signature Date

December 23, 2004  
Date of Service (For NASD-DR office use only)