

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05048

Raymond James Financial Services, Inc., Claimant v. Margaret Kopecki, Respondent

ATTORNEYS:

For Claimant Raymond James Financial Services ("Claimant") appeared Leslie A. Reese, Esq., in-house counsel, Raymond James Financial Services, Inc. St. Petersburg, FL.

Respondent Margaret Kopecki ("Kopecki") did not file a Statement of Answer in this matter.

NATURE OF DISPUTE: Member v. Associated Person.

DATE FILED: July 15, 2004.

CASE SUMMARY: Claimant alleged that Respondent breached the terms of an Independent Sales Associate Agreement. Claimant maintained that due to Respondent's actions, the company suffered losses.

Claim Data

Claim: \$11,025.14
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$11,025.14
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$1,050.00
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 is liable and shall pay to Claimant \$11,025.14. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) 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.

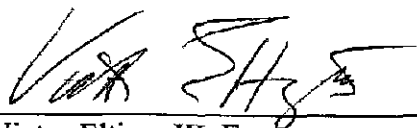
OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail, and is therefore bound by the arbitrator's ruling and determination.

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Award 04-05048

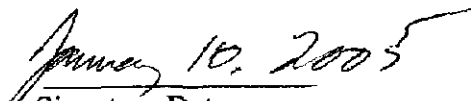
Victor Elting, III, Esq. - Sole Non-Public Arbitrator

AFFIRMATION

I, Victor Elting, III, 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.



Victor Elting, III, Esq.



Signature Date

January 18, 2005

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