

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05429

James Patrick Hannley, Claimant v. Stephen A. Kohn & Associates, Ltd., Respondent

ATTORNEYS:

Claimant James Patrick Hannley ("Claimant") appeared *pro se*, Tucson, AZ.

For Respondent Stephen A. Kohn & Associates, Ltd., ("Respondent") appeared Stephen A. Kohn, President, Stephen A. Kohn & Associates, Ltd., Lakewood, CO.

NATURE OF DISPUTE: Associated Person vs. Member.

DATE FILED: July 27, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to pay him compensation for advisory fees paid. Claimant maintained that due to Respondent's actions, he suffered losses.

Claim Data

Claim: \$13,228.00

Interest: \$.00

Award Data

Award: \$2,960.00

Interest: \$25 per day for each day
after 1/15/05 that award is not paid

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 for and shall pay Claimant \$2,960.00. 2) Respondent is liable and shall pay to the Claimant interest in the amount of \$25.00 per day for each day after January 15, 2005 that the award is not paid. 3) 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. 4) Respondent shall pay NASD Dispute Resolution the \$425 filing fee.

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 04-05429

ARBITRATOR

Bruce A. Lindvig - Sole Non-Public Arbitrator

AFFIRMATION

I, Bruce A. Lindvig, 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.


Bruce A. Lindvig

1/6/05
Signature Date

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