

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-06403

Brookstreet Securities Corporation (Claimant) v. Daniel Barker (Respondent)

ATTORNEYS:

For Claimant Brookstreet Securities Corporation ("Claimant") appeared H. Thomas Fehn, Esq., of the firm Fields, Fehn & Sherwin, Los Angeles, CA.

Respondent Daniel Barker ("Respondent") appeared *pro se*, Beverly Hills, CA.

NATURE OF DISPUTE: Member v. Associated Person.

DATE FILED: September 3, 2004.

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

Claim Data

Claim: \$16,000.00
Interest: Unspecified
Attorney Fees: Unspecified
Costs: Unspecified

Award Data

Award: \$0.00
Interest: \$0.00
Attorney Fees: \$0.00
Costs: \$0.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees 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.

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

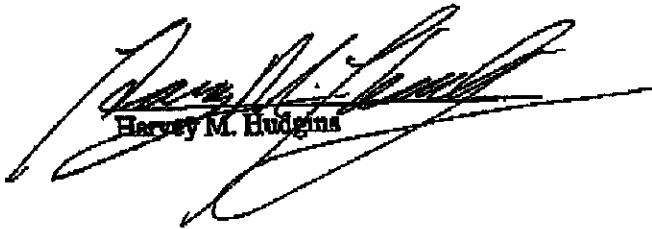
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Award 04-06403

ARBITRATOR

Harvey M. Hudgins - Sole Non-Public Arbitrator

AFFIRMATION

I, Harvey M. Hudgins, 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.


Harvey M. Hudgins

5-12-05
Signature Date

May 13, 2005

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