

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

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CASE: 04-07520

Raymond James Financial Services, Inc., Claimant v. Larry Daniels, Respondent

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**ATTORNEYS:**

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

Respondent Larry Daniels ("Respondent") appeared *pro se*, Dayton, TN.

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

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**DATE FILED:** October 19, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondent breached his Independent Sales Associate Agreement by failing to repay expenses and fees. Claimant maintained that due to Respondent's actions, the company suffered a loss.

**COUNTERCLAIM CASE SUMMARY:** Respondent alleged that Claimant failed to pay him commissions owed. Respondent maintained that due to Claimant's actions, he suffered losses.

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**Claim Data**

Claim: \$2,844.03  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

**Award Data**

Award: \$2,844.03  
Interest: 10% fr. 12/21/04-2/22/05  
Attorney Fees: \$1,000.00  
Filing Fees: \$525.00  
Other: \$0.00

**Counterclaim Data**

Counterclaim: \$3,443.44  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

Award: \$0.00  
Interest: \$0.00  
Attorney Fees: \$0.00  
Filing Fees: \$0.00  
Other: \$0.00

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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 for and shall pay to Claimant \$2,844.03. 2) Respondent is liable for and shall pay to Claimant interest at the rate of 10% per annum from December 21, 2004 through February 22, 2005. 3) Respondent is liable for and shall pay to Claimant attorney fees in the amount of \$1,000.00 pursuant to the Agreement. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$525.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$525.00 as reimbursement of the filing fee.

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**COUNTERCLAIM AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The Counterclaims of Respondent 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 \$175.00 Counterclaim filing fee that the Respondent deposited previously.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

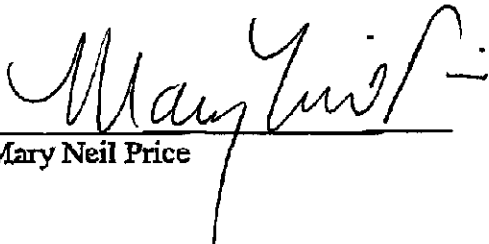
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ARBITRATOR

Mary Neil Price - Sole Non-Public Arbitrator

AFFIRMATION

I, Mary Neil Price, 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.

  
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Mary Neil Price

  
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Signature Date

April 25, 2005

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