

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-07904

Raymond James Financial Services, Inc. (Claimant) v. Coleman Kao (Respondent)

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 Coleman Kao ("Respondent") did not file a Statement of Answer in this matter.

NATURE OF DISPUTE: Member v. Associated Person.

DATE FILED: November 11, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed or otherwise satisfy his obligations with respect to a settlement paid for by Claimant. Claimant maintained that due to Respondent's actions, the company suffered losses.

Claim Data

Claim: \$8,446.12
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Costs: Unspecified
Other: Unspecified

Award Data

Award: \$8,446.12
Interest: 7% fr 10/22/04-payment
Attorney Fees: \$0.00
Filing Fees: \$750.00
Costs: \$0.00
Other: \$0.00

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 for and shall pay to Claimant \$8,446.12. 2) Respondent is liable for and shall pay to Claimant interest at the rate of 7% per annum from October 22, 2004 through the date of payment of the award. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$750.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$325.00 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.

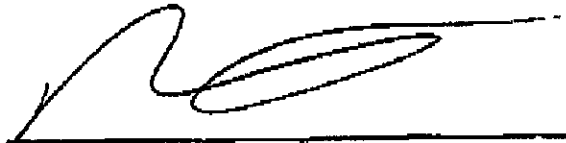
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Award 04-07904

Howard Roitman, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Howard Roitman, 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.



Howard Roitman, Esq.

Signature Date

June 16th, 2005

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