

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-07965

Westpark Capital, Inc., (Claimant) vs. Michael Edward Carbone, (Respondent)

ATTORNEYS:

For Claimant appeared Westpark Capital in-house counsel Anthony C. Pintsopoulos, Los Angeles, CA.

Respondent did not file a Statement of Answer in this matter.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: November 4, 2004

CASE SUMMARY: Claimant alleged that Respondent has failed to repay monies owed pursuant to the terms of an Independent Registered Representative Agreement. Claimant maintained that due to Respondent's actions, the firm suffered a loss.

Claim Data

Claim: \$2,100.00
Filing Fees: \$350.00

Award Data

Award: \$2,100.00
Filing Fees: \$350.00

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 the Claimant \$2,100.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$350.00 filing fee that the claimant deposited previously. 4) Respondent is liable and shall pay claimant \$350.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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

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Award 04-07965


James A. Collins

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Sole Non-Public Arbitrator

AFFIRMATION

I, James A. Collins, 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.


James A. Collins

6/28/05
(Signature Date)

June 14, 2005
Date of Service (For NASD-DR office use only)