

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00199

Wachovia Securities, LLC, (Claimant) vs. Anna M. Johnson, (Respondent)

ATTORNEYS:

For Claimant appeared Renan Sugarman, Esq., Chicago, IL.

Respondent appeared pro se, Glendale, AZ.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: January 11, 2005

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, the firm suffered a financial loss.

Claim Data

Claim: \$9,211.00
Interest: \$784.11
Attorney Fees: \$4,000.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$9,211.00
Interest: \$784.11
Attorney Fees: \$.00
Filing Fees: \$.00
Other: \$.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 \$9,211.00. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay Claimant \$784.11 as interest from December 12, 2003 until February 28, 2005. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$215.00 Member Surcharge previously invoiced.

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Award 05-00199

Daniel J. Lind

Sole Non-Public Arbitrator

AFFIRMATION

I, Daniel J. Lind, 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.



Daniel J. Lind

7.19.05
(Signature Date)

July 29, 2005
Date of Service (For NASD-DR office use only)