

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00638

Lincoln Investment Planning, Inc., (Claimant) vs. William F. Donahue, (Respondent)

ATTORNEYS:

For Claimant appeared Scott H. Wolpert, Esq., of the firm Timoney Knox, LLP, Fort Washington, PA.

Respondent did not submit an Answer to the Statement of Claim.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: February 1, 2005

CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed pursuant to the terms of a Financial Representative Agreement and a Commission Financing Agreement. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$12,453.68
Interest: Unspecified
Filing Fees: \$1,050.00

Award Data

Award: \$.12,453.68
Interest: \$715.48
Filing Fees: \$.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 \$12,453.68. 2) Respondent is liable and shall pay Claimant interest of \$715.48, calculated at 12% annually compounded monthly from the date of filing, February 1, 2005 to date of this decision. 3) All other relief requests are denied. 4) 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.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the Arbitrator determined that Respondent William F. Donohue 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.

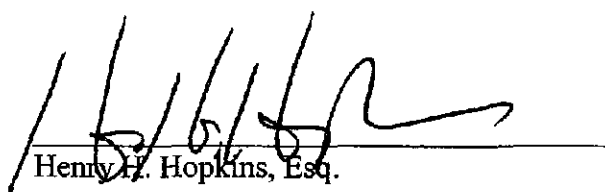
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Award 05-00638

Henry H. Hopkins, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Henry H. Hopkins, 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.


Henry H. Hopkins, Esq.

7-25-2005
(Signature Date)

August 2, 2005

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