

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01160

Oppenheimer & Co., Inc., (Claimant) vs. Lamont Arthur Patrick, (Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel Eric J. Shames, Esq., New York, NY.

Respondent appeared pro se, Cumming, GA.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: March 4, 2005

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing 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: \$10,000.00
Interest: Unspecified
Attorney Fees: \$2,500.00
Filing Fees: \$750.00
Other: Unspecified

Award Data

Award: \$1,333.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$375.00
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 \$1,333.00. 2) All requests for attorney fees are denied. 3) All requests for interest 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 \$350.00 as reimbursement of one half 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.

Page Two
Award 05-01160

Fredrick T. W. Reed

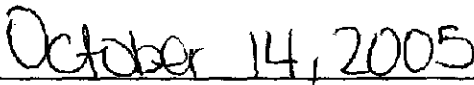
Sole Non-Public Arbitrator

AFFIRMATION

I, Fredrick T.W. Reed, 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.


Fredrick T.W. Reed


(Signature Date)


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