

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-02055

Richard Louis Seyferth, (Claimant) vs. The Leaders Group, Inc., (Respondent)

ATTORNEYS:

Claimant appeared pro se, Bolivia, NC.

For Respondent appeared in-house counsel Z. Jane Riley, Littleton, CO.

NATURE OF DISPUTE: Associated Person vs. Member

DATE FILED: April 15, 2005

CASE SUMMARY: Claimant alleged that Respondent failed to pay him commissions. Claimant maintained that due to Respondent's actions, he suffered a financial loss.

Claim Data

Claim: \$1,000.00

Interest: \$.00

Filing Fees: \$.00

Other: Unspecified

Award Data

Award: \$500.00

Interest: at the rate of 5% per annum from 1/11/05– 9/2/05.

Filing Fees: \$50.00

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 \$500.00. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 5% per annum from January 11, 2005, to September 2, 2005. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$50.00 as reimbursement of the filing fee.

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

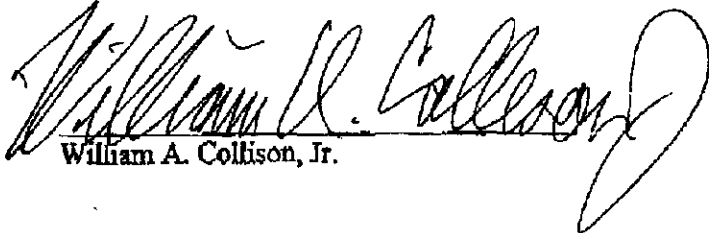
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Award 05-02055

William A. Collison, Jr.

Sole Non-Public Arbitrator

AFFIRMATION

I, William A. Collison, Jr., 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.


William A. Collison, Jr.

9/8/05
(Signature Date)

SEPTEMBER 9, 2005
Date of Service (For NASD-DR office use only)