

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

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CASE: 05-03502

Banc of America Investment Services, Inc., (Claimant) vs. David A. Jones, (Respondent)

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**ATTORNEYS:**

For Claimant appeared Diane C. Fischer, Esq., of the firm Kane & Fischer, Ltd., Chicago, IL.

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

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**NATURE OF DISPUTE:** Member v. Associated Person

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**DATE FILED:** July 7, 2005

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**CASE SUMMARY:** Claimant alleged that Respondent has failed to repay monies owed as a result of a grid deficit and a commission deficit. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

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**Claim Data**

Claim: \$10,853.66  
Interest: Unspecified

Filing Fees: \$.00  
Other: Unspecified

**Award Data**

Award: \$10,853.66  
Interest: Granted at the statutory rate  
per annum from 10/2/03-12/19/05.  
Filing Fees: \$525.00  
Other: \$.00

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**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 \$10,853.66. 2) Respondent is liable and shall pay to the Claimant interest at the statutory rate per annum from October 2, 2003 until December 19, 2005. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$525.00 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent David A. Jones was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail, and is therefore bound by the arbitrator's ruling and determination.

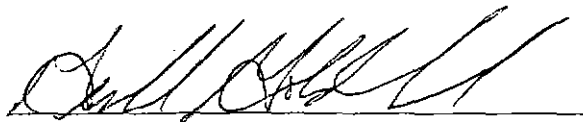
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Award 05-03502

Gerald Goldsmith

Sole Non-Public Arbitrator

AFFIRMATION

I, Gerald Goldsmith, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.



Gerald Goldsmith

12/23/05  
(Signature Date)

December 30, 2005  
Date of Service (For NASD-DR office use only)