

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-03628

Melanie Proctor Megenity, (Claimant) vs. LMT Capital Markets, LLC, John Patrick Trears and John Richard Liegey, (Respondents)

ATTORNEYS:

Claimant appeared pro se, Duluth, GA.

Respondent LMT Capital Markets, LLC did not submit an Answer to the Statement of Claim.

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

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

Respondents LMT Capital Markets, LLC, John Patrick Trears and John Richard Liegey are hereinafter collectively referred to as ("Respondents").

NATURE OF DISPUTE: Associated Person vs. Member and Associated Persons

DATE FILED: July 13, 2005

CASE SUMMARY: Claimant alleged that Respondents breached an employment contract by failing to repay monies owed for compensation. Claimant maintained that due to Respondent's actions, she suffered a financial loss.

Claim Data

Claim: \$7,500.00
Punitive: Unspecified
Interest: \$.00

Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$7,500.00
Punitive: \$.00
Interest: granted at the rate of 6% per annum from February 28, 2005- date of payment of the award.
Filing Fees: \$325.00
Other: \$3,000.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the Claimant \$7,500.00. 2) All requests for punitive damages are denied. 3) Respondents are jointly and severally liable and shall pay to the Claimant interest at the rate of 6% per annum from February 28, 2005 until the date of payment of the award. 4) Respondents are jointly and severally liable and shall pay to the Claimant \$3,000.00 total for "preparation fees" for five (5) hours a month for four (4) months (March-June 2005) in the amount of \$150.00 per hour. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 7) Respondents are jointly and severally liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

Page Two
Award 05-03628

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, LMT Capital Markets, LLC, has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondents LMT Capital Markets, LLC, John Patrick Trears and John Richard Liegey were 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 are therefore bound by the arbitrator's ruling and determination.

Page Three

Award 05-03628

S. Bennett Whipple

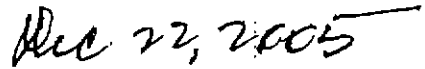
Sole Non-Public Arbitrator

AFFIRMATION

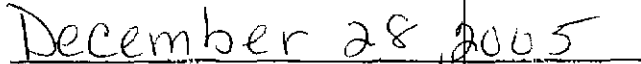
I, S. Bennett Whipple, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.



S. Bennett Whipple



(Signature Date)



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