

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-04641

Catalina Borrero, (Claimant) vs. Finacorp Securities, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, New York, NY.

For Respondent appeared in-house counsel Eduardo J. Prado, Esq., Irvine, CA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: September 5, 2005

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

Claim Data

Claim: \$7,637.00
Interest: Unspecified
Filing Fees: \$325.00
Other: Unspecified

Award Data

Award: \$5,000.00
Interest: \$.00
Filing Fees: \$.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 \$5,000.00. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

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

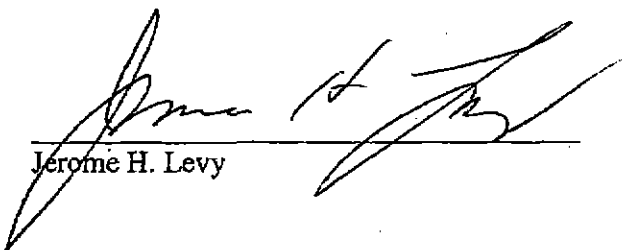
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Award 05-04641

Jerome H. Levy

Sole Non-Public Arbitrator

AFFIRMATION

I, Jerome H. Levy, 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.


Jerome H. Levy

Feb. 15, 2006
(Signature Date)

February 16, 2006
Date of Service (For NASD-DR office use only)