

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05978

McNally Financial Services Corporation, (Claimant) vs. Darren Neal Warden, (Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel David D. McNally, San Antonio TX.

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

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: November 22, 2005

CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed pursuant to the terms of an Independent Contractor Agreement. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$6,117.88

Interest: \$.00

Filing Fees: \$1,075.00

Other: Unspecified

Award Data

Award: \$6,117.88

Interest: granted at the rate of 7.5% per annum from date of award until date of payment of award.

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 \$6,117.88. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 7.5% per annum from the date of this award until the date of payment of the award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$375.00 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.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Darren Neal Warden 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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William A. Wilson, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, William A. Wilson, Esq., 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. Wilson, Esq.

4-8-06

(Signature Date)

April 12, 2006

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