

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-06395

Oppenheimer & Co., Inc., (Claimant) vs. Paul Carobini, (Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel, Eric J. Shames, Esq., New York, NY.

Respondent appeared *pro se*, Terryville, CT.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: December 14, 2005

CASE SUMMARY: Claimant alleged that Respondent breached an employment contract by failing to repay monies pursuant to the terms of a Promissory Note. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$5,864.00

Interest: Unspecified

Attorney Fees: Unspecified

Filing Fees: Unspecified

Award Data

Award: \$.00

Interest: \$.00

Attorney Fees: \$.00

Filing Fees: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of the Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously.

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

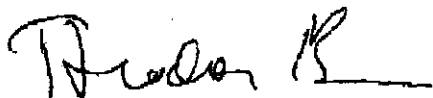
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Award 05-06395

Theodor Brown

Sole Non-Public Arbitrator

AFFIRMATION

I, Theodor Brown, 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.



Theodor Brown

(Signature Date)

April 12, 2006

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