

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02004

Royal Alliance & Associates, Inc., (Claimant) vs. Christopher Reagan,
(Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel Alyson R. Kest, Esq., New York, NY.

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

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: April 19, 2006

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing to repay monies owed 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: \$14,875.00
Interest: Unspecified

Filing Fees: \$1,475.00
Other: Unspecified

Award Data

Award: \$14,875.00
Interest: granted at the
prime rate plus 3% per
annum from January 20,
2006 until the date of
payment of the award.
Filing Fees: \$1,050.00
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 \$14,875.00. 2) Respondent is liable and shall pay to the Claimant interest at the prime rate plus 3% per annum from January 20, 2006 until the date of payment of the award. 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 \$1,050.00 as reimbursement of the filing fee.

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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Richard F. Gordon, CFA

Sole Non-Public Arbitrator

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AFFIRMATION

I, Richard F. Gordon, CFA, 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.


Richard F. Gordon, CFA

10/21/06
(Signature Date)

October 31, 2006

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