

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02067

Newbridge Securities Corporation, (Claimant) vs. Alfonso Miranda, (Respondent)

ATTORNEYS:

For Claimant appeared Michael S. Colombo, President and CEO of the firm StreetWide Asset Recovery Group, Inc., Lyndhurst, NJ.

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

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: April 21, 2006

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

Claim Data

Claim: \$14,613.00
Filing Fees: \$.875.00
Other Costs: \$4,383.90

Award Data

Award: \$14,613.00
Filing Fees: \$1,050.00
Other Costs: \$4,383.90

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 \$14,613.00. 2) Respondent is liable and shall pay to the Claimant \$4,383.90 for collection fees. 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.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Alfonso Miranda 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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Award 06-02067

Laura Jeanette Cognetti

Sole Non-Public Arbitrator

AFFIRMATION

I, Laura Jeanette Cognetti, 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.



Laura Jeanette Cognetti

11/29/2006
(Signature Date)

November 30, 2006
Date of Service (For NASD-DR office use only)