

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02257

Ryan Beck & Co., Inc., (Claimant) vs. Thomas Dalton, (Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel Jeffrey C. Primiano, Esq., Livingston, NJ.

For Respondent appeared A.J. Bohner, Esq., of the firm Bohner Law Office, Boise, ID.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: May 5, 2006

CASE SUMMARY: Claimant alleged that Respondent breached an employment 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: \$19,551.67
Interest: \$.00

Attorney Fees: Unspecified
Filing Fees: Unspecified

Award Data

Award: \$19,551.67
Interest: granted at the
rate of 3.26% per annum
from 6/30/05-9/30/06.
Attorney Fees: \$1,968.75
Filing Fees: \$1,050.00

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 \$19,551.67. 2) Respondent is liable and shall pay to the Claimant \$1,968.75 for attorney fees pursuant to the terms of the promissory note. 3) Respondent is liable and shall pay to the Claimant interest at the rate of 3.26% per annum from June 30, 2005 to September 30, 2006. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) 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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Award 06-02257

Alan Richard Carlisle

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Sole Non-Public Arbitrator

AFFIRMATION

I, Alan Richard Carlisle, 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.

Alan R. Carlisle
Alan Richard Carlisle

12/7/06
(Signature Date)

December 12, 2006
Date of Service (For NASD-DR office use only)