

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02848

Crystal Scott, (Claimant) vs. McDonald Investments, Inc., (Respondent)

ATTORNEYS:

For Claimant appeared Jacquenette Corgan of the firm Law Office of Warner Mendenhall, Inc., Akron, OH, 44304.

For Respondent appeared Wm. Joseph Baker, Esq., of the firm Giffen Kaminski, LLC, Cleveland, OH.

NATURE OF DISPUTE: Associated Person vs. Member

DATE FILED: June 12, 2006

CASE SUMMARY: Claimant alleged that Respondents placed inaccurate and defamatory information on her Form U-5. Claimant further alleged libel/slander, wrongful termination and is requesting expungement. Claimant maintained that due to Respondent's actions, she has suffered a financial loss.

Claim Data

Claim: \$20,500.00
Claim: Expungement
Attorney Fees: \$1,000.00
Filing Fees: Unspecified

Award Data

Award: \$.00
Award: Denied
Attorney Fees: \$.00
Filing Fees: \$62.50

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 expungement are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$125.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$62.50 as reimbursement of one half of the filing fee. 7) NASD Dispute Resolution previously waived the \$300.00 deposit for the case to be decided on the paper record. 8) The Arbitrator has determined that the \$300.00 forum fee shall remain waived.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 06-02848

Alan Shaw, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Alan Shaw, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.



Alan Shaw, Esq.

JAN 5, 2007
(Signature Date)

January 9, 2007

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