

STIPULATED AWARD

BEFORE THE NASD ARBITRATION PANEL

James Leroy Phillips and)	
Louise Pace Phillips,)	
)	
Claimants,)	
)	
vs.)	95-02006
)	
Marion Bass Securities)	
Corporation, Raymond James)	
& Associates, Inc., and)	
American Wealth Management,)	
)	
Respondents.)	
)	

CONSENT JUDGMENT

American Wealth Management, Inc. ("American Wealth"), having filed a third party complaint against Thomas Rushton Baker ("Baker") in this arbitration, and the parties having entered into an agreement to resolve their disputes, with Baker having consented to a judgment against him in an amount of \$18,000,

THE PANEL HEREBY AWARDS to American Wealth Management a judgment in the amount of \$18,000.00 against Baker, payable \$300.00 per month beginning ^{Dec.} October 1, 1997, and continuing thereafter on the first day of each month until paid in full. In the event that Baker fails to make any payment when due, American Wealth shall have the right to confirm this award, obtain a judgment from the

After 60 day
grace period
TLD

Fulton Superior Court or any other court with jurisdiction, and to take all action allowed it by law to collect on this debt.

This the 14 day of ^{October}~~September~~, 1997.

TRB

Joseph Carlisi
JOSEPH CARLISI

George H. Loughery
GEORGE H. LOUGHERY

P. Parks Duncan
P. PARKS DUNCAN

Consented to:

Thomas Rushton Baker
By: Thomas Rushton Baker

American Wealth Management, Inc.

Jerome A. Borzello
By: Jerome A. Borzello

5046.05.ConsentJdgm

Without any admission of guilt by Mr. Baker, this consent judgment represents a final settlement of matters of litigation by and between himself and American Wealth Management and/or Raymond James & Assoc. Inc. regarding Mr. Baker's past association with these companies.

TRB