

N.A.S.D. REGULATION, INC. AWARD

CASE: 98-0102

Farsight Financial Services, L.P. claimant vs. Hieu Vu, respondent.

ATTORNEYS:

For claimant appeared Curtis E. Kittelson - Cambridge, MA.

Respondent did not appear.

DATE FILED: 1/9/98

CASE SUMMARY: Claimant alleged failure to pay debit balance in brokerage account.

Claim Data

Claim: \$2,668.81
Atty Fees: \$875.00
Filing Fees: \$575.00
Other: \$.00

Award Data

Award: \$2,668.81
Atty Fees: \$.00
Filing Fees: \$575.00
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 \$2,668.81. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) The \$575.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 5) Respondent is liable and shall pay claimant \$575.00 as reimbursement of the filing fee.

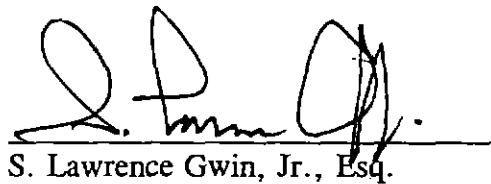
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that respondent was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail, as evidenced by the signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

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Award 98-00102

AFFIRMATION

I, S. Lawrence Gwin, Jr., Esq., 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.



S. Lawrence Gwin, Jr., Esq.

October 7, 1998
Date of award