

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 98-00164

Gladys F. Judge, claimant vs. Steven Wallace, respondent.

ATTORNEYS:

Claimant appeared Pro Se. - Westchester, CA.

Respondent appeared - Pro Se. - Beverly Hills, CA.

DATE FILED: 1/13/98

CASE SUMMARY: Claimant alleged unpaid overtime.

Claim Data

Claim: \$4,302.36
Interest: Requested
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$.00
Interest: Denied
Atty Fees: \$.00
Filing Fees: \$.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) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$575.00 filing fee previously assessed against claimant is waived on the grounds of financial hardship.

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

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AFFIRMATION

I, William McC. Montgomery, 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.



William McC. Montgomery, Esq.

July 24, 1998

Date of award