

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

CASE: 98-00310

J.W. Barclay & Co., Inc. , claimant vs. Jackie Rumph, respondent.

ATTORNEYS:

For Claimant appeared Theo S. Basis - New York, NY

Respondent did not appear.

DATE FILED: 1/26/98

CASE SUMMARY: Claimant alleged money owed on promissory note and debit balance in personal account.

Claim Data

Claim: \$9,820.49
Interest: Requested
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$9,820.49
Interest: Granted
Punitive: \$.00
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 \$9,820.49. Interest of 10% per annum shall be paid on \$6,018.00 of said amount from 1/15/97 until the award is paid. Statutory interest shall be paid on the remaining \$3,802.49 of said award from 1/6/97 until award is paid. 2) All other relief requests are denied. 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. Respondent is liable and shall pay claimant \$575.00 as reimbursement of the filing fee.

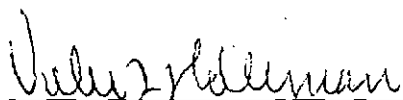
OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Regulation, Inc. the \$300.00 member surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that respondent Jackie Rumph was served notice of the Statement of Claim by regular mail on 2/17/98 and Overdue Notice by certified mail on 4/14/98, and Notification of Arbitrator on 4/20/98 and respondent is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Vicki Z. Holleman, 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.



Vicki Z. Holleman, Esq.

June 17, 1998

Date of Award