

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

CASE: 98-00445

Alice Boote, claimant vs. Murphey, Marseilles, Smith & Nammack, Inc., respondent.

ATTORNEYS:

For claimant appeared Thomas J. Canavan, Jr., Esq. - Manhasset, NY.

Respondent did not appear.

DATE FILED: 2/4/98

CASE SUMMARY: Claimant alleged failure to pay commissions.

Claim Data	Award Data
Claim: \$7,561.00	Award: \$7,561.00
Interest: Requested	Interest: 6% from 3/1/96 until paid.
Punitive: \$.00	Punitive: \$.00
Atty Fees: Requested	Atty Fees: \$1,000.00
Filing Fees: \$575.00	Filing Fees: \$575.00
Other: \$.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 \$7,561.00. 2) Respondent is liable and shall pay claimant's attorney fees in the amount of \$1,000.00. 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 shall pay 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 was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail and is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Dean E. Kois, 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.



Dean E. Kois

August 11, 1998

Date of Award