

AWARD

NASD Regulation, Inc.

CASE: 98-03868

A.G. Edwards & Sons, Inc., claimant vs. Maureen Paterson, respondent.

ATTORNEYS:

For Claimant appeared Phyllis A. Hartrich, Esq. - St. Louis, MO.

Respondent did not respond to the Statement of Claim.

DATE FILED: October 19, 1998

CASE SUMMARY: Claimant alleged Respondent had insufficient funds in her account to cover the amount drawn and has refused to pay the resulting debit balance.

Claim Data

Claim: \$5,580.00
Interest: at the applicable rate
from December 7, 1997
Atty Fees: unspecified
Filing Fees: \$575.00

Award Data

Award: \$5,580.00
Interest: @6% per annum from
March 27, 1998 to date of award
Atty Fees: \$500.00
Filing Fees: \$575.00

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 \$5,580.00. 2) Respondent is liable and shall pay to the claimant interest at the rate of 6% per annum from March 27, 1998 to date of award. 3) Respondent is liable and shall pay to claimant attorney fees in the amount of \$500.00. 4) All other relief requests are denied. 5) 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. 6) 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 ByLaws of NASD Regulation, the arbitrator determined that respond was served notice of the Statement of Claim, Overdue Notice and Notification of the Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Edward Thomas Leech, 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.


Edward Thomas Leech

November 24, 1999
Date of award