

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

CASE:99-00239

Cedric M. Swirsky, claimant vs. Century City Securities, Inc, respondent.

ATTORNEYS:

Claimant Cedric M. Swirsky appeared Pro Se., Laguna Niguel, California.

For Respondent Century City Securities, Inc., appeared James, A. Shalvoy, Esq., Manhattan Beach, California. Respondent did not respond to the Statement of Claim.

DATE FILED: 01/20/1999

CASE SUMMARY: Claimant alleged that Respondent failed to pay his salary for the final two weeks of his employment.

Claim Data

Claim: \$3,653.84
Interest: @10% per annum
from January 30, 1997.

Filing Fees: \$575.00

Award Data :

Award: \$3,653.84
Interest: @10% per
annum accruing from 1/30/97 to the
date of the award.
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 \$3,653.84. 2) Respondent is liable and shall pay to the claimant interest at the rate of 10% per annum accruing from 1/30/97 until the date of the award. 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 Century City Securities, Inc. was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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Award 99-00239

AFFIRMATION

I, W. Reece Bader, 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.



W. Reece Bader, Esq.

February 9, 2000

Date of award