

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

CASE: 99-00968

Everen Securities, Inc., claimant vs. William David Wooldridge, Jr., respondent.

ATTORNEYS:

For Claimant Everen Securities, Inc. ("Claimant"), Diane C. Fischer, Esq.,
Goombert, Kane & Fischer, LTD, Chicago, Illinois.

Respondent William David Wooldridge ("Respondent"), did not respond to the Statement of Answer.

DATE FILED: 03/04/99

CASE SUMMARY: Claimant alleged that upon Respondent's resignation, he owed money on an outstanding balance of a loan and for unearned commissions paid to him.

Claim Data

Claim: \$13,167.88

Interest: Accrued on the balance and owing
under the note from 8/10/97 through 10/25/99
at the contract rate of 10.25% per annum

Interest: on the losses due to improper acts
and omissions in accounts

Atty Fees: unspecified

Filing Fees: unspecified

Award Data

Award: \$13,167.88

Interest: on \$12,542.88 at the rate of
10% per annum from 8/10/97 to date
of award

Interest: \$.00

Atty Fees: \$1,838.78

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 hereby liable and shall pay to the Claimant \$13,167.88. 2) Respondent is hereby liable and shall pay to the Claimant interest on \$12,542.88 at the rate of 10% per annum accruing from August 10, 1997, until the award is paid. 3) Respondent is hereby liable and shall pay to the Claimant attorneys' fees in the amount of \$1,838.78. 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 hereby liable and shall pay Claimant \$575.00 as reimbursement of the filing fee.

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OTHER FEES: Pursuant to Rule 10333 of the Code, claimant Everen Securities, Inc. has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.


OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that respondent William David Wooldridge was served notice of the Statement of Claim and Notification of Arbitrator by regular mail and is therefore bound by the arbitrator's ruling and determination.

The Arbitrator denied Claimant's Motion to Preclude Answer.

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AFFIRMATION

I, Dolores Martin, 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.



Dolores Martin

February 24, 2000

Date of award