



**NASD<sup>®</sup>**  
**REGULATION**  
An NASD Company

**NASD Regulation, Inc.**

Office of Dispute Resolution

125 Broad Street \* 36th Floor \* New York, NY 10004-2193 \* 212-858-4400 \* Fax 212-858-4389

Satellite Office at: 1735 K Street \* 4th Floor \* NW \* Washington, DC 20006-1506 \* 202-728-8958 \* Fax 202-728-8952

**N.A.S.D. REGULATION AWARD**

**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 99-01254

A.S. Goldmen & Co., Inc., claimant vs. Vincent Charles Carraciolo, respondent.

**ATTORNEYS:**

For Claimant A. S. Goldmen & Co., Inc. ("Claimant"), Glenn A. Duhl, Esq., Siegel, O'Connor, Schiff & Zangari, P.C., New Haven, Connecticut.

Respondent Vincent Charles Carraciolo ("Respondent") did not respond to the Statement of Claim.

DATE FILED: 03/17/1999

**CASE SUMMARY:** Claimant maintained that in June of 1997, A.S. Goldmen settled an NASD arbitration against itself, Respondent, and others. Claimant alleged that Respondent agreed to pay the customer however, he defaulted and Claimant paid out the settlement. Claimant further alleged that despite its demand for reimbursement from the Respondent, he has failed to pay.

**Claim Data**

Claim: \$13,430.55

Interest: at a rate of 10% per annum.

Atty Fees: unspecified

Filing Fees: \$1,350

Costs: \$.00

**Award Data**

Award: \$12,080.55

Interest: at a rate of 9% per annum accruing from 12/21/98 to the date of payment of the award.

Atty Fees: \$500.00

Filing Fees: \$.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 \$12,080.55. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 9% accruing from 12/21/98 until the date of payment of the award. 3) Respondent is liable and shall pay to the Claimant attorneys' 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.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Claimant A.S. Goldmen & Co., Inc. has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

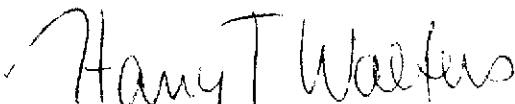
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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that Respondent Vincent Charles Carraciolo was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail and is therefore bound by the arbitrator's ruling and determination.

The arbitrator awarded attorneys' fees pursuant to the contract that the Respondent entered into.

**AFFIRMATION**

I, Harry T. Walters, 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.

  
Harry T. Walters

March 23, 2000

Date of Award