

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

CASE: 99-02578

Dean Witter Reynolds, Inc., claimant vs. Todd K. Daniels, respondent.

ATTORNEYS:

For Claimant Dean Witter Reynolds, Inc. ("Claimant"), Diane C. Fischer, Esq., of Gombert, Kane & Fischer, LTD. Chicago, IL.

Respondent Todd K. Daniels ("Respondent"), did not respond to the Claimant's Statement of Claim.

DATE FILED: June 4, 1999

CASE SUMMARY: Claimant alleged that Respondent breach his contractual agreement and failed to repay a promissory note upon termination of his employment.

Claim Data

Claim: \$21,574.80
Atty Fees: \$2,501.50
Filing Fees: \$1,050.00
Costs: \$1,678.27

Award Data

Award: \$21,574.80
Atty Fees: \$2,501.50
Filing Fees: \$1,050.00
Costs: \$628.27

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 \$21,574.80. 2) Respondent is liable and shall pay to the Claimant \$2,501.50 as reimbursement for attorney fees. 3) Respondent is liable and shall pay to the Claimant \$628.27 for costs incurred in the proceedings. 4) All other relief requests are denied. 5) The \$1,050.00 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 \$1,050.00 as reimbursement of the filing fee.

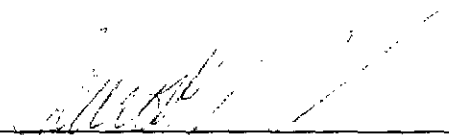
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that Respondent 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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AFFIRMATION

I, Ramona V. Larson, 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.



Ramona V. Larson

April 26, 2000

Date of award