

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00089

Stephanie Bernik, claimant vs. EBI Securities Corporation and Christopher Ashworth, respondents.

ATTORNEYS:

Claimant, Stephanie Bernik, appeared Pro Se., New York, NY.

For respondent, EBI Securities Corporation, appeared in-house counsel Russell K. Bean, Esq., Englewood, CO.

Respondent Christopher Ashworth did not respond to the Statement of Claim.

DATE FILED: January 11, 2000

CASE SUMMARY: Claimant alleged that respondents engaged in unauthorized trading of Iridium World Communications and Quepasa stock. Claimant further alleged that respondents failed to inform her that the money maintained in her account was primarily on margin.

Claim Data

Claim: \$6,008.00

Claim: Suspension of license
to continue as broker

Award Data

Award: \$.00

Award: Denied

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent EBI Securities Corporation has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Eugene Ginsberg, Esq., 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.


Eugene Ginsberg, Esq.

August 29, 2000
Date of Award