

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-00613

Scot K. Wulbert Trust, claimant vs. Harris Investors Direct and Harris Bank Chicago, respondents.

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**ATTORNEYS:**

Claimant appeared through its Trustee, Scot K. Wulbert, Pro Se, Barrington, IL.

For Respondent Harris Investors Direct appeared Randall M. Lending, Esq., of the firm Vedder, Price, Kaufman & Kammholz, Chicago, IL.

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DATE FILED: February 11, 2000

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**CASE SUMMARY:** Claimant alleged that because of a defect in respondent Harris Investors Direct's on-line brokerage screen he was unable to cancel an order for 2000 shares of Knot, Inc., thereby creating a loss in his account.

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**Claim Data**

Claim: \$9,891.95  
Interest: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

Award: \$2,393.75  
Interest: \$116.69  
Filing Fees: \$162.50  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Harris Investors Direct is liable and shall pay to the claimant \$2,393.75. 2) Respondent Harris Investors Direct is liable and shall pay to the claimant \$116.69 in interest. 3) All other relief requests are denied. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent Harris Investors Direct is liable and shall pay claimant \$162.50 as reimbursement for half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Harris Investors Direct has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

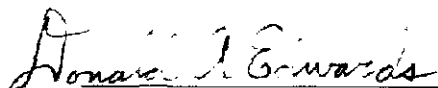
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**OTHER ISSUES:** Prior to the arbitrator rendering a decision, claimant withdrew all claims against respondent Harris Bank, Chicago.

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**AFFIRMATION**

I, Donald A. Edwards, Esq., 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.



Donald A. Edwards, Esq.

January 4, 2001

Date of award