

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

CASE: 00-03486

PaineWebber Incorporated, Claimant vs. Frank I Strick, Respondent.

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**ATTORNEYS:**

For Claimant, PaineWebber Incorporated, ("Claimant"), appeared Romaine Gardner, Esq., Staten Island, NY.

Respondent, Frank I. Strick, ("Respondent"), did not respond to the Statement of Claim.

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DATE FILED: August 11, 2000

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**CASE SUMMARY:** Claimant alleged that Respondent failed to repay a debit balance in his Resource Management Account incurred from MasterCard charges.

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**Claim Data**

Claim: \$5,534.69

Interest : \$968.52

Atty Fees: \$1,950.09

Filing Fees: \$1,050.00

Other: Unspecified

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**Award Data**

Award: \$5,534.69

Interest: \$968.52; additional interest at the rate of 10% per annum from 9/1/00 to payment of award.

Atty Fees: \$1,950.09

Filing Fees: \$750.00

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 is liable and shall pay to the Claimant \$5,534.69. 2) Respondent is liable and shall pay to the Claimant interest of \$968.52; and additional interest at the rate of 10% per annum from 9/1/00 to payment of the award. 3) Respondent is liable and shall pay to the Claimant \$1,950.09 for attorney fees as per customer agreement contract. 4) All other relief requests are denied. 5) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay to the Claimant \$750.00 as reimbursement of the filing fee.

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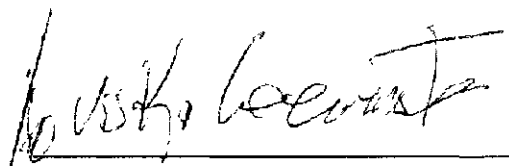
**OTHER FEES:** Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 00-03486

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, 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.

**AFFIRMATION**

I, Louis K. Loewenstein, 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.

A handwritten signature in cursive script, appearing to read "Louis K. Loewenstein", written over a horizontal line.

Louis K. Loewenstein

02/23/01  
Date of award