

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04060

James L. Tracey, Bryan K. Murtauch, John P. Sass and William J. Goodman Claimants vs. NI Securities Corp. and Michael E. Zulick, Respondents.

ATTORNEYS:

Claimants, James L. Tracey, Bryan K. Murtauch, John P. Sass and William J. Goodman ("Claimants") appeared Pro Se., through James L. Tracey, Belvidere, IL.

For Respondents, NI Securities, Corp. and Michael E. Zulick (collectively "Respondents") appeared through it CEO, Michael E. Zulick, Akron, OH.

DATE FILED: September 18, 2000

CASE SUMMARY: Claimants alleged that Respondents breached their contractual agreement and failed to pay commission that are owed.

Claimant's Demand:

Claimant's Demand: \$321.14
Interest: \$321.14
Filing Fees: \$425.00
Other: unspecified

Award Due:

Award: \$21,102.00
Interest: \$.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) Respondents are jointly and severally liable and shall pay to the Claimants: James L. Tracey \$10,584.00; Bryan K. Murtauch \$8,011.00; John P. Sass \$1,340.00 and William J. Goodman \$1,247.00. 2) All request for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimants, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, NI Securities Corp. has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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J. Gorman Cook

Sole Non-Public Arbitrator

AFFIRMATION

I, J. Gorman Cook, 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.


J. Gorman Cook

06-01-01
Date of award

June 25, 2001
Date of service (for NASD office use only)