

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-04149

Raika Financial Group, Inc., claimant vs. Robert Crawford, respondent.

ATTORNEYS:

For Claimant appeared Ruthann G. Niosi, Esq., New York, NY.

For Respondent appeared William H. Walker, Esq., St. Petersburg, FL.

DATE FILED: September 22, 2000

CASE SUMMARY: Claimant alleged that respondent intentionally failed to repay the margin debt in his account.

COUNTER CLAIM: Respondent alleged that claimant breached its contract with respondent when it failed to sell respondent's shares in a timely manner as requested by respondent. Respondent further alleged negligence and bad faith.

Claim Data

Claim: \$3,050.78

Interest: at 9% from April 14, 2000

Attorney Fees: unspecified

Filing Fees: unspecified

Other: unspecified

Award Data

Award: \$3,050.78

Interest: at 8% per annum from April 14, 2000 to payment of award.

Attorney Fees: \$1,500.00

Filing Fees: \$525.00

Other: \$.00

Counter Claim Data

Claim: \$20,000.00

Punitive: unspecified

Attorneys Fees: unspecified

Costs: unspecified

Counter Claim Award Data

Award: \$.00

Punitive: \$.00

Attorneys Fees: \$.00

Costs: \$.00

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 \$3,050.78. 2) Respondent is liable and shall pay to the claimant interest at 8% per annum from April 14, 2000 to payment of award. 3) All requests for attorney fees are granted in the amount of \$1,500.00 as per claimant's request. 4) All other relief requests are denied. 5) The \$525.00 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 claimant \$525.00 as reimbursement of the filing fee.

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COUNTER CLAIM AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The counter claims of respondent are hereby dismissed in their entirety. 2) All other and further relief requests are denied.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant Raike Financial Group, Inc. has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

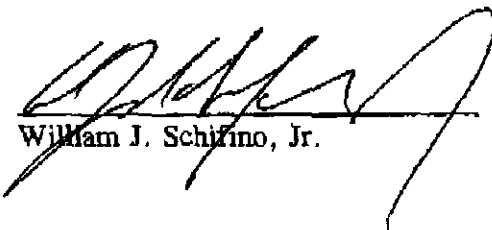
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William J. Schifino, Jr.

Sole Public Arbitrator

AFFIRMATION

I, William J. Schifino, Jr., 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.


William J. Schifino, Jr.

11-26-01
Signature Date

November 30, 2001
Date of Service (For NASD-DR office use only)