

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04324

William C. Carlson, Claimant vs. Interactive Brokers LLC, Respondent.

ATTORNEYS:

Claimant appeared Pro Se, Peoria, IL.

For Respondent appeared Bradford L. Jacobwitz, Vice President, Legal and Compliance, Interactive Brokers LLC, Greenwich, CT.

DATE FILED: September 29, 2000

CASE SUMMARY: Claimant alleged that respondent failed to adjust the shares of HTD in his account to reflect a 1:5 reverse split. Claimant maintained that as a result of respondent's actions, he sustained losses.

Claim Data

Claim: \$391.00
Punitive: \$600.00
Filing Fees: \$75.00
Other: Unspecified

Award Data

Award: \$391.00
Punitive: \$.00
Filing Fees: \$50.00
Other: \$.00

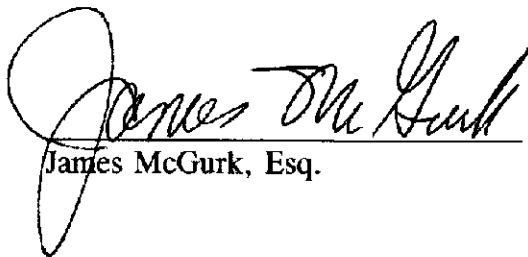
AWARD: The undersigned Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$391.00. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$50.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$50.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has not paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

Page Two
Award 00-04324

AFFIRMATION

I, James McGurk, 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.


James McGurk, Esq.

May 31, 2001
Date of award