

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04465

Frank L. and Cheryl Gaunt, Claimants vs. Barron Chase Securities and Dmitry Gorodetsky, Respondents.

ATTORNEYS:

Claimants, appeared Pro Se, South San Francisco, California.

Respondent, Dmitry Gorodetsky appeared Pro Se, Chicago, IL.

Respondent Barron Chase Securities did not respond to the Statement of Claim.

DATE FILED: October 6, 2000

CASE SUMMARY: Claimant alleged that Respondents recommended securities unsuitable to claimant's age, finances and experiences. Claimant further alleged that Respondents sold securities without claimant's authorization.

Claim Data

Claim: \$5,000.00
Punitive: \$5,000.00
Filing Fees: unspecified
Other: \$.00

Award Data

Award: \$2,800.00
Punitive: \$.00
Filing Fees: \$325.00
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 \$2,800.00. 2) All requests for punitive damages are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent Dmitry Gorodetsky is liable and shall pay to the Claimants \$325.00 as reimbursement of the filing fee.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Barron Chase Securities, Inc. was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of the Arbitrator by certified mail and is therefore bound by the arbitrator's ruling and determination.

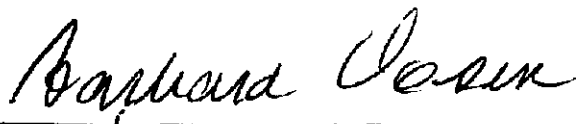
Page Two
Award 00-04465

Barbara Vosen

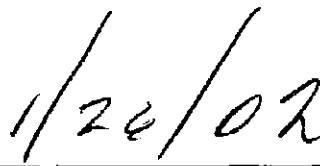
Sole Public Arbitrator

AFFIRMATION

I, Barbara Vosen, 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.



Barbara Vosen



Signature Date

February 5, 2002

Date of Service (For NASD-DR office use only)