

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE:00-04581

Martin Gombo, claimant vs. Andrew Louis and Kami Khataunbadi, respondents.

ATTORNEYS:

Claimant appeared pro se, Lakewood, NJ.

Respondent Kami Khataunbadi did not respond to the Statement of Claim.

DATE FILED: October 16, 2000

CASE SUMMARY: Claimant alleged that respondents misrepresented information regarding trades made in his account. Claimant contended that respondents made investments that were unsuitable to his investment objectives. Claimant maintained that due to respondent's actions the account suffered losses.

Claim Data

Claim: \$10,000.00
Interest: Unspecified
Other: Unspecified

Award Data

Award: \$10,000.00
Interest: \$.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 Kami Khataunbadi is liable and shall pay to the claimant \$10,000.00. 2) All other relief requests are denied. 3) The \$300.00 filing fee and \$125.00 hearing session deposit were previously waived by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Hampton-Porter Investment Bankers have not paid to NASD Dispute Resolution the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: 1) The claims against Andrew Louis were dismissed by claimant prior to the arbitrator rendering a decision in the matter. 2) Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent Kami Khataunbadi was served notice of the Statement of Claim and Notification of Arbitrator by regular mail and Overdue Notice by certified mail and is therefore bound by the arbitrator's ruling and determination.


Page Two
Award 00-04581

Aaron Tyk, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Aaron Tyk, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Aaron Tyk, Esq.

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Signature Date

December 11, 2002

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