

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04689

Access Financial Group, Inc., Claimant vs. John Carlos Rojas, Respondent.

ATTORNEYS:

For Claimant, Access Financial Group, Inc., ("Claimant"), appeared Andrew S. May, Esq., of the firm of Henderson & Lyman, Chicago, IL.

Respondent, John Carlos Rojas, ("Respondent"), did not respond to the Statement of Claim.

DATE FILED: October 23, 2000.

CASE SUMMARY: Claimant alleged that Respondent breached their contractual agreement and failed to repay a promissory, failed to make repayments for his 1998 registration and also failed to pay for recapture of accelerated payout.

Claim Data

Claim: \$7,720.00
Interest: 10% from July 1998 until
date of decision.
Atty Fees: \$1,290.00
Filing Fees: \$750.00

Award Data

Award: \$7,720.00
Interest: at 10% per annum on \$6,500.00 from
8/30/98 to 2/28/01 totaling \$1,977.00.
Atty Fees: \$1,290.00
Filing Fees: \$750.00

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 \$7,720.00. 2) Respondent is liable and shall pay to the Claimant interest at 10% per annum on \$6,500.00 from 8/30/98 to 2/28/01 totaling \$1,977.00. 3) Respondent is liable and shall pay to the Claimant \$1,290.00 in attorneys' fees as per Claimant's request. 4) The \$750.00 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 \$750.00 as reimbursement of the filing fee.

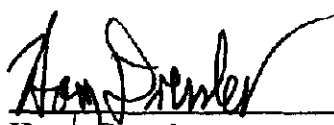
OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the Arbitrator determined that Respondent was served notice of the Statement of Claim and the Notice of Arbitration by regular mail and the Overdue Notice by certified mail, as evidenced by the signed signature card on file and is therefore bound by the Arbitrator's ruling and determination.

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AFFIRMATION

I, Harry Dressler, 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.



Harry Dressler

April 19, 2001
Date of award