

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04961

PaineWebber Inc., claimant vs. Thomas Rendl, respondent.

ATTORNEYS:

For Claimant appeared Lisa A. Catalano, Esq., of the Law Offices of Joel E. Davidson, Park Ridge, NJ.

Respondent appeared Pro Se, Libertyville, IL.

DATE FILED: November 8, 2000

CASE SUMMARY: Claimant alleged that respondent defaulted on a settlement agreement pertaining to his employee forgivable loan. Claimant maintained that respondent ceased making payments leaving a balance of \$21,324.26.

Claim Data

Claim: \$21,324.26
Interest: \$6,397.28
Filing Fees: \$1,050.00

Award Data

Award: See Stipulated Award
Interest: See Stipulated Award
Filing Fees: See Stipulated Award

AWARD: See attached Stipulated Award (Exhibit A).

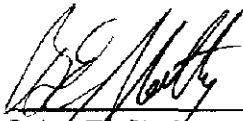
OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: By letter dated April 11, 2001, the parties jointly requested that Arbitrator, Brian E. Slotky, review and sign the parties' Stipulated Award.

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Award 00-04961

AFFIRMATION

I, Brian E. Slotky, 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.



Brian E. Slotky

May 31, 2001
Date of award

STIPULATED AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

-----X
In the Matter of the Arbitration Between:

PAINWEBBER INCORPORATED,

Claimant,

v.

THOMAS RENDL,

Respondent.

NASD Case
No.
00-04961

REPRESENTATION OF PARTIES

For Claimant, Lisa A. Catalano of the Law Offices of Joel E. Davidson, Esq., PC in New York and New Jersey.

Respondent Thomas Rendl appered pro se.

CASE INFORMATION

The Statement of Claim was dated November 6, 2000.

Claimant's submission agreement was dated November 2, 2000.

Respondent did not file an answer.

The Stipulated Award was filed April 12, 2001.

CASE SUMMARY

By stipulation and the joint consent of the parties, the parties hereby consent to the entry of an award in PaineWebber's favor in the amount of \$21,324.26, plus interest thereon in the amount of \$6,397.28. The parties further agree that the costs of this proceeding, including forum fees, are to be paid by Respondent. (Stipulation is annexed as Exhibit "A".) Respondent Rendl also agrees that PaineWebber Incorporated may

confirm the arbitration award in the State of New Jersey and Rendl consents to jurisdiction therein.

RELIEF REQUESTED

Claimant and Respondent hereby request an award as follows:

Respondent shall pay to PaineWebber Incorporated the amount of \$21,324.26 as compensatory damages, plus interest thereon in the amount of \$6,397.28;

Assessment of NASD costs and forum fees against Respondent; and

PaineWebber Incorporated may confirm the arbitration award in the State of New Jersey.

AWARD

After considering the stipulation of the parties to the entry of the following terms, the undersigned arbitrator has decided in full and final resolution of the issues submitted for determination:

1. Respondent Thomas Rendl is hereby liable to PaineWebber Incorporated in the amount of \$21,234.26, plus interest thereon in the amount of \$6,397.28;
2. The NASD costs and forum fees of this proceeding are assessed against Respondent Thomas Rendl.
3. PaineWebber may confirm the arbitration award in the State of New Jersey.

Concurring Arbitrator's Signature:



Brian E. Slotky
Presiding Chair, Industry Arbitrator

Dated:

May 31, 2001

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

-----X
In the Matter of the Arbitration Between:

PAINWEBBER INCORPORATED,

Claimant,

v.

THOMAS RENDL,

Respondent.

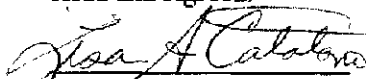
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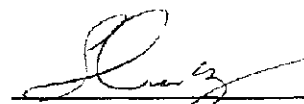
STIPULATION OF ENTRY OF ARBITRATION AWARD

Lisa A. Catalano, Esq., on behalf of the Claimant, PaineWebber Incorporated, and Respondent Thomas Rendl, who represents himself in the above captioned proceeding, each do hereby stipulate and agree as follows:

The arbitrator in the above captioned case is authorized to enter an award in favor of PaineWebber Incorporated wherein Respondent Thomas Rendl is liable to PaineWebber Incorporated in the amount of \$21,324.26, plus interest thereon in the amount of \$6,397.28, and Rendl is responsible for the costs and forum fees of this NASD proceeding. Rendl also consents to confirmation of the award in the State of New Jersey and consents to jurisdiction in the State of New Jersey.

Read and Agreed:


Lisa A. Catalano, Esq.
On behalf of Claimant
PaineWebber Incorporated


Thomas Rendl
Respondent

Date: 4/11/01

Date: 4/12/01