

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-05119

Seaboard Securities, Inc., claimant vs. Richard Knuth, respondent.

---

**ATTORNEYS:**

For Claimant appeared in-house counsel, Jay Marc Israel, Esq.

Respondent did not respond to the Statement of Claim.

---

**DATE FILED:** November 20, 2000

---

**CASE SUMMARY:** Claimant alleged that respondent failed to repay funds advanced to him to cover employment costs.

---

**Claim Data**

Claim: \$6,616.66  
Filing Fees: \$750.00  
Interest: Unspecified

---

**Award Data**

Award: \$3,897.05  
Filing Fees: \$750.00  
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 \$3,897.05. 2) All other relief requests are denied. 3) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$750.00 as reimbursement of the filing fee.

---

**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent 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, Richard Knuth, was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail and is therefore bound by the arbitrator's ruling and determination.

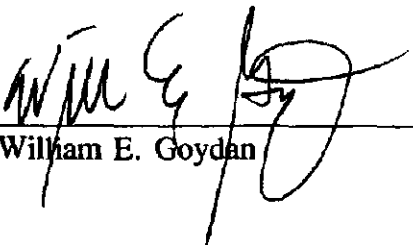
Page Two  
Award 00-05119

William E. Goydan

/Non-Public Arbitrator

**AFFIRMATION**

I, William E. Goydan, 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.

  
\_\_\_\_\_  
William E. Goydan

June 4, 2001  
Date of award

June 14, 2001  
Date of Service (for NASD office use)