

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

CASE: 00-05419

Ameritrade, Inc., Claimant vs. Suzanne Farese, Respondent.

---

**ATTORNEYS:**

For Claimant appeared James Vihstadt, Esq., Ameritrade, Inc., Bellevue, NE.

Respondent did not respond to the Statement of Claim.

---

DATE FILED: December 6, 2000

---

**CASE SUMMARY:** Claimant alleged Respondent purchased stocks on margin. After liquidating stocks in her account, she incurred a debit balance which still remains unpaid.

---

**ARBITRATOR'S REPORT:** It was represented to the Arbitrator that Respondent Farese had twice communicated to her the fact that this claim had been filed and is pending, and that Farese had chosen not to respond. Thus, this decision was made without input from Respondent. Legal Assistant Kozielski informed the Arbitrator of this fact by telephone conversation.

---

**Claim Data**

Claim: \$23,702.39  
Interest: unspecified  
Costs: \$1,050.00

---

**Award Data**

Award: \$23,702.39  
Interest: denied  
Costs: \$1,050.00

---

**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 \$27,702.39. 2) All other relief requests are denied. 3) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is jointly and severally liable and shall pay Claimant \$1,050.00 as reimbursement of the filing fee.

---

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

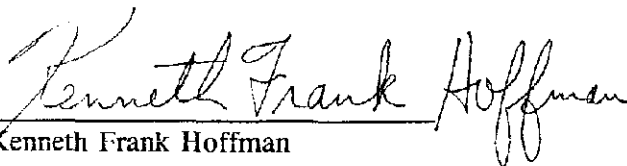
---

**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 Notification of Arbitration by regular mail, and 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.

Page Two  
Award 00-05419

**AFFIRMATION**

I, Kenneth Frank Hoffman, 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.

  
Kenneth Frank Hoffman

May 30, 2001  
Date of award