

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00006

Mark B. Sims and Donna T. Sims, claimants vs. Cambridge Capital, LLC and Wexford Clearing Services Corporation, respondents.

ATTORNEYS:

Claimants appeared Pro Se, through Mark B. Sims, Excelsior, MN.

For Respondent, Wexford Clearing Services Corporation, appeared William H. Freilich, Esq., in-house counsel, New York, NY.

DATE FILED: January 2, 2001.

CASE SUMMARY: Claimant alleged respondents purchased 1000 shares of CMGI without their knowledge or authorization. Claimants further alleged that respondents established a margin account without their knowledge.

Claim Data

Claim: \$12,500.00
Punitive: \$6,250.00
Interest: \$750.00
Other: \$500.00
Filing fees: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Other: \$.00
Filing fees: \$425.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant against respondent Wexford Clearing Services Corp. are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent Wexford Clearing Services Corp. shall pay claimant \$425.00 as reimbursement of the filing fee.

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

OTHER ISSUES: Respondent Cambridge Capital, LLC has been removed as a party from this case as they filed for bankruptcy and all proceedings are stayed against them.

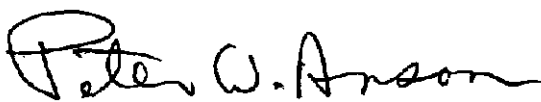
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Peter W. Anson, Esq.

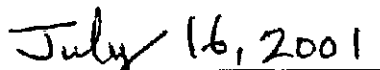
Sole Public Arbitrator

AFFIRMATION

I, Peter W. Anson, 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.



Peter W. Anson, Esq.



Signature Date

August 1, 2001
Date of Service (for NASD Office Use Only)