

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-00789

Joni J. Becker, Claimant vs. Robert F. Kasel, Respondent.

ATTORNEYS:

Claimant, Joni J. Becker, appeared pro se, New York, NY.

For Respondent, Robert F. Kasel, appeared Peter Bon Viso, Esq., in-house counsel for Merrill Lynch, Pierce, Fenner & Smith, Inc., New York, NY.

DATE FILED: February 16, 2001

CASE SUMMARY: Claimant alleged that respondent was negligent in making unsuitable recommendations. Claimant maintained that due to respondent's actions, she incurred financial losses.

Claim Data

Claim: \$5,088.74
Interest: \$381.65
Filing Fees: \$325.00
Other: \$45.63

Award Data

Award: \$3,500.00
Interest: \$0.00
Filing Fees: \$162.50
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 \$3,500.00. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$325.00 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 \$162.50 as reimbursement of one-half of the filing fee. 6) The arbitrator recommends the expungement of all reference to the above-captioned arbitration from Respondent Robert F. Kasel's, registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent, Robert F. Kasel, must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

OTHER FEES: Pursuant to Rule 10333 of the Code, Merrill Lynch, Pierce, Fenner & Smith, Inc., has paid to NASD Dispute Resolution, Inc. the \$300.00 member surcharge previously invoiced.

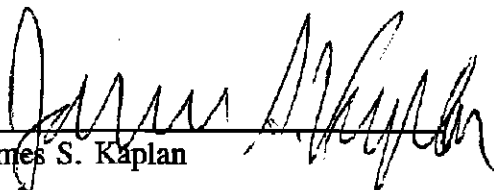
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Award 01-00789

James S. Kaplan

Sole Public Arbitrator

AFFIRMATION

I, James S. Kaplan, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.


James S. Kaplan

02-04-2002
Signature Date

February 11, 2002
Date of Service (For NASD-DR office use only)