

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 01-01093

Ameritrade, Inc., claimant vs. Chun K. Lau, respondent.

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**ATTORNEYS:**

For Claimant appeared James J. Vihstadt, Esq., Regulatory Manager, Bellevue, NE.

Respondent appeared pro se, New York, NY.

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**DATE FILED:** March 5, 2001

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**CASE SUMMARY:** Claimant alleged that respondent failed to deposit adequate funds or buy back securities sufficient to meet the minimum equity requirements in his account. Claimant further alleged that it was forced to buy back the securities in respondent's account which resulted in an outstanding debit balance. Claimant maintained that due to respondent's actions the firm suffered losses.

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**Claim Data**

Claim: \$12,835.22

Interest: Unspecified

Filing Fees: Unspecified

Other: Unspecified

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**Award Data**

Award: \$12,835.22

Interest: \$.00

Filing Fees: \$525.00

Other: \$.00

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**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 \$18,835.22. 2) All request for interest are hereby denied. 3) All other relief requests are denied. 4) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay claimant \$525.00 as reimbursement of one-half of the filing fee.

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

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**OTHER ISSUES:** The arbitrator denied claimant, Ameritrade, Inc.'s Motion to Disallow Answer prior to rendering a decision on the merits of the case.


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Award 01-01093

Allan E. Johnson

Sole Public Arbitrator

**AFFIRMATION**

I, Allan E. Johnson, 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.

  
Allan E. Johnson

  
Signature Date

August 19, 2002  
Date of Service (For NASD-DR office use only)