

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01208

GKN Securities, Corp., Inc., claimant vs. Patrick Keane, respondent.

ATTORNEYS:

For Claimant appeared Michael S. Colombo, Vice-President, New York, NY.

Respondent appeared Pro Se, Tarrytown, NY.

DATE FILED: March 12, 2001

CASE SUMMARY: Claimant alleged that respondent failed to repay an unsecured promissory note.

Claim Data

Claim: \$7,200.00

Interest: unspecified

Attorney's Fees: unspecified

Other: unspecified

Award Data

Award: \$4,920.00

Interest: at 14% per annum from
December 15, 2000 to
payment of award.

Attorney's fees: \$.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 \$4,920.00. 2) Respondent is liable and shall pay to the claimant interest at a rate of 14% per annum from December 15, 2000 to payment of award. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

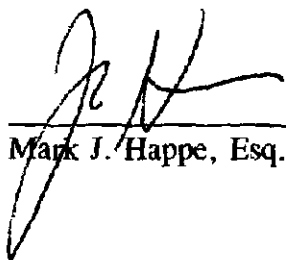
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Award 01-01208

Mark J. Happe, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Mark J. Happe, Esq., 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.



Mark J. Happe, Esq.

12/14/01

Signature Date

December 19, 2001
Date of Service (For NASD-DR office use only)