

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-01418

Ameritrade, Inc., Claimant vs. Robert M. Frye, Respondent.

ATTORNEYS:

For Claimant appeared James J. Vihstadt, Esq., in-house counsel, Bellevue, NE.

Respondent did not submit a response to the Statement of Claim.

DATE FILED: March 21, 2001

CASE SUMMARY: Claimant alleged that respondent failed to repay the debit balance on his margin account.

Claim Data

Claim: \$11,371.09
Interest: unspecified

Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$11,371.09
Interest: 6.5% per annum from
2/25/99 to date of payment of award.
Filing Fees: \$1,050.00
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 \$11,371.09. 2) Respondent is liable and shall pay to the Claimant interest at a rate of 6.5% per annum from February 25, 1999 to date of payment of award. 3) All other relief requests are denied. 4) The \$1,050.00 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 \$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, Robert M. Frye was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

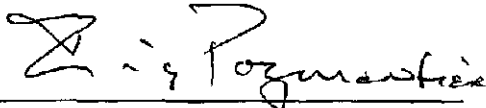
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Award 01-01418

Irving Pozmantier

Sole Public Arbitrator

AFFIRMATION

I, Irving Pozmantier, 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.



Irving Pozmantier

4-19-02

Signature Date

04/25/02

Date of Service (For NASD-DR office use only)