

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 01-01612

GKN Securities Corp., claimant vs. Andrew McFarquhar, respondent.

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**ATTORNEYS:**

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

Respondent appeared pro se, Jersey City, NJ.

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**DATE FILED:** April 2, 2001

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**CASE SUMMARY:** Claimant alleged that respondent breached his employment agreement when he failed to repay monies due as set forth in a Promissory Note.

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**Claim Data**

Claim: \$4,500.00  
Interest: unspecified  
Attorney Fees: unspecified  
Filing Fees: \$525.00  
Other: unspecified

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**Award Data**

Award: \$4,500.00  
Interest: \$.00  
Attorney Fees: \$.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 \$4,500.00. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay claimant \$525.00 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$200.00 Member surcharge previously invoiced.

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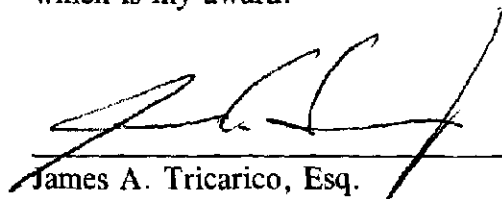
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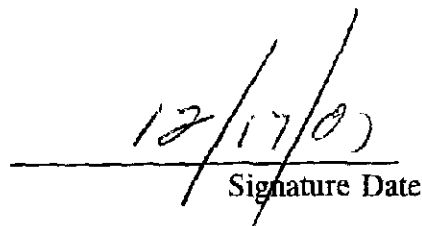
James A. Tricarico, Esq.

Sole Non-Public Arbitrator

**AFFIRMATION**

I, James A. Tricarico, 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.

  
James A. Tricarico, Esq.

  
Signature Date

January 9, 2002  
Date of Service (For NASD-DR office use only)