

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01889

Ameritrade, Inc., claimant vs. Dennis A. Rose, Jr., respondent.

ATTORNEYS:

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

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

DATE FILED: April 16, 2001

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

Claim Data

Claim: \$10,918.03
Interest: unspecified

Costs: unspecified
Other: unspecified

Award Data

Award: \$10,918.03
Interest: statutory interest rate from
March 17, 2000 on \$10,918.03 until
payment of award.
Costs: \$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 \$10,918.03. 2) Respondent is liable and shall pay to the claimant interest at the statutory rate from March 17, 2000 on \$10,918.03 until 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 to the claimant \$1,050.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant Ameritrade, Inc. 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 Dennis A. Rose, Jr. was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail, and is therefore bound by the arbitrator's ruling and determination.

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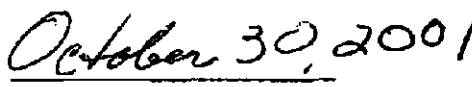
Richard A. Dice, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard A. Dice, Esq., 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.


Richard A. Dice, Esq.


Signature Date

November 1, 2001
Date of Service (For NASD-DR office use only)