

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01964

Access Financial Group, Inc., claimant vs. Anthony Mango, respondent.

ATTORNEYS:

For Claimant appeared Andrew S. May, Esq., Henderson & Lyman, Chicago, IL.

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

DATE FILED: April 18, 2001

CASE SUMMARY: Claimant alleged that respondent failed to pay additional funds to cover his margin calls therefore creating a debit balance which he has not yet repaid.

Claim Data

Claim: \$10,840.96
Attorney Fees: unspecified
Filing Fees: \$1,050.00
Other costs: \$400.00

Award Data

Award: \$10,840.96
Attorney Fees: \$.00
Filing Fees: \$1,050.00
Other costs: \$.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 \$10,840.96. 2) All requests for attorney fees are denied. 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 Access Financial Group, 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 Anthony Mango 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 01-01964

James J. Friedman

Sole Public Arbitrator

AFFIRMATION

I, James J. Friedman, 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.


James J. Friedman

Nov. 23, 2001
Signature Date

December 13, 2001
Date of Service (For NASD-DR office use only)