

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

CASE: 01-01992

GKN Securities Corp., claimant vs. Miguel Ocasio, respondent.

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**ATTORNEYS:**

For Claimant appeared Michael S. Colombo, Manager, National Collections Department, New York, NY.

Respondent appeared pro se, Margate, FL.

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**DATE FILED:** April 19, 2001

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**CASE SUMMARY:** Claimant alleged respondent failed to repay monies owed on his Promissory Note.

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**Claim Data**

Claim: \$3,500.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$3,500.00  
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 \$3,500.00. 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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**OTHER ISSUES:** The Motion to Dismiss filed by the respondent was denied by the arbitrator.

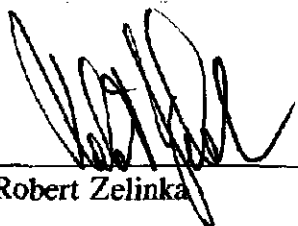
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Award 01-01992

Robert Zelinka

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Robert Zelinka, 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.

  
\_\_\_\_\_  
Robert Zelinka

2/13/02  
\_\_\_\_\_  
Signature Date

February 21, 2002  
\_\_\_\_\_  
Date of Service (For NASD-DR office use only)