

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-02962

H&R Block Financial Advisors, Inc., claimant vs. Daryl G. Mayfield, respondent.

ATTORNEYS:

For Claimant appeared Kurt M. Miller, Esq., in-house counsel, Detroit, MI.

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

DATE FILED: June 5, 2001

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

Claim Data

Claim: \$7,032.25
Interest: \$1,349.14
Attorney Fees: unspecified
Filing Fees: \$750.00
Other: \$300.00

Award Data

Award: \$7,032.25
Interest: \$925.97 margin interest
Attorney Fees: \$.00
Filing Fees: \$750.00
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 \$7,032.25. 2) Respondent is liable and shall pay to the claimant margin interest totalling \$952.97. 3) All request for attorney fees are denied. 4) All other relief requests are denied. 5) The \$750.00 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 \$750.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, claimant H&R Block Financial Advisors, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent Daryl G. Mayfield 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.

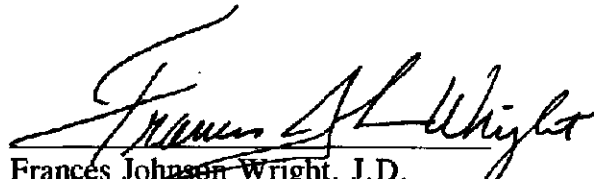
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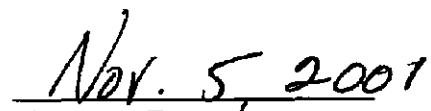
Frances Johnson Wright, J.D.

Sole Public Arbitrator

AFFIRMATION

I, Frances Johnson Wright, J.D., 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.


Frances Johnson Wright, J.D.


Signature Date

November 16, 2001
Date of Service (For NASD-DR office use only)