

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-03034

Investec Ernest & Company, Inc., Claimant vs. Ricardo Broome, Respondent.

ATTORNEYS:

For Claimant, Investec Ernest & Company, Inc., appeared Michael S. Colombo of Streetwide Asset Recovery Group, Inc. New York, NY.

Respondent, Ricardo A. Broome, appeared Pro Se, New York, NY.

DATE FILED: June 8, 2001

CASE SUMMARY: Claimant alleged Respondent failed to pay back training and registration costs upon termination of employment.

Claim Data

Claim: \$2,500.00
Interest: Unspecified
Attorney Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.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) The claims of Claimant are dismissed in their entirety. 2) All requests for interest payments are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$350.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

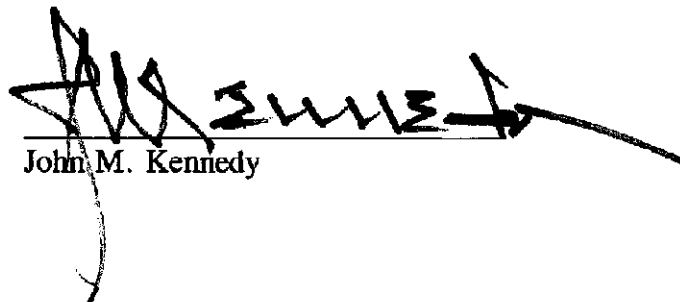
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Award 01-03034

John M. Kennedy

Sole Non-Public Arbitrator

AFFIRMATION

I, John M. Kennedy, 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.


John M. Kennedy

02.12.02
Signature Date

February 28, 2002
Date of Service (For NASD-DR office use only)