

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-03266

Josef J. Bahlke, Claimant vs. Thomas A. Ransohoff, Respondent.

ATTORNEYS:

Claimant, Josef J. Bahlke, appeared Pro Se, Red Bluff, California.

For Respondent, Thomas A. Ransohoff, appeared Christopher D. Cavuoti, Esq., Office of General Counsel, Litigation Department, Merrill Lynch, New York, New York.

DATE FILED: June 19, 2001

CASE SUMMARY: Claimant alleged that respondent neglected and mishandled claimant's account. Claimant further alleged that Respondent failed to increase the value of his investments.

Claim Data

Claim: \$20,000.00
Punitive: \$5,000.00
Other: unspecified

Award Data

Award: \$.00
Punitive: \$.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 punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 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, Merrill Lynch, Pierce, Fenner & Smith, Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

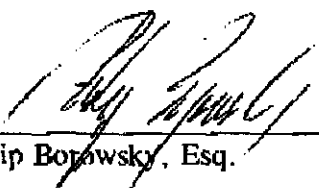
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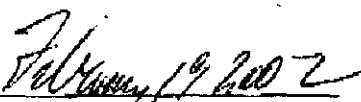
Philip Borowsky, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Philip Borowsky, Esq., hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.


Philip Borowsky, Esq.


Signature Date

February 26, 2002
Date of Service (For NASD-DR office use only)