

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 01-06977

Investec Ernst & Company, claimant vs. Rafael Klein, respondent.

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**ATTORNEYS:**

For Claimant appeared Michael S. Colombo, President, Streetwide Asset Recovery Group, Inc., New York, NY.

Respondent appeared pro se, New York, NY.

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DATE FILED: December 24, 2001

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**CASE SUMMARY:** Claimant alleged that respondent failed to repay monies owed under the terms of the Promissory Note and Letter/Employment Agreement.

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**Claim Data**

Claim: \$15,555.52  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$15,555.52  
Interest: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$.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 \$15,555.52. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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**OTHER ISSUES:** Claimant's Motion to Preclude was granted by the arbitrator.


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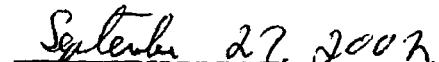
Larry H. Irom, Esq.

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Larry H. Irom, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

  
Larry H. Irom, Esq.

  
Signature Date

October 7, 2002  
Date of Service (For NASD-DR office use only)