

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06199

Robert F. Mensik, claimant vs. Robert W. Baird & Co., Inc., John M. Hohmann, and Paul Stenklyft, respondents.

ATTORNEYS:

Claimant appeared pro se, previously residing in Green Valley, AZ and currently residing in Anthem AZ.

For Respondents appeared in-house counsel Moira K. Moran, Esq., Milwaukee, WI.

DATE FILED: October 16, 2002

CASE SUMMARY: Claimant alleged that respondents were negligent in handling his account and that they did not process transactions in a timely manner. Claimant maintained that because of respondents' actions, his account suffered a loss.

Claim Data

Claim: \$5,202.67
Punitive: \$2,601.33
Interest: \$330.78
Filing Fees: Unspecified
Other: \$36.57

Award Data

Award: \$5,202.67
Punitive: \$2,601.33
Interest: \$330.78
Filing Fees: \$325.00
Other: \$36.57

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) All claims of claimant against John Hohmann are dismissed in their entirety. 2) All claims of claimant against Paul Stenklyft are dismissed in their entirety. 3) Respondent, Robert W. Baird & Co., Inc., is liable and shall pay to the claimant \$5,202.67. 4) Respondent, Robert W. Baird & Co., Inc. is liable and shall pay claimant \$2,601.33 for punitive damages as requested by claimant. 5) Respondent, Robert W. Baird & Co., Inc. is liable and shall pay claimant interest in the amount of \$330.78. 6) Respondent Robert W. Baird & Co., Inc. is liable and shall pay claimant \$36.57 for other costs. 7) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 8) Respondent, Robert W. Baird & Co., Inc. is liable and shall pay claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, Robert W. Baird & Co., Inc. has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

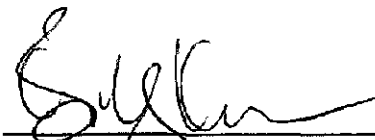
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Billy Kwan

Sole Public Arbitrator

AFFIRMATION

I, Billy Kwan, 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.



Billy Kwan

3/11/03

Signature Date

March 18, 2003

Date of Service (For NASD-DR office use only)