

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

CASE: ~~08~~-00726

Kyung N. Kim, Claimant vs. Won Forgione, Respondent.

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**ATTORNEYS:**

Claimant, Kyung N. Kim, ("Claimant"), appeared pro se, Monte Sereno, CA.

Respondent, Won Forgione, ("Respondent"), did not respond to the Statement of Claim.

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DATE FILED: January 29, 2003

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**CASE SUMMARY:** Claimant alleged that Respondent overcharged her service fees, lied to her, and made unauthorized trades in her account. Claimant maintained that due to Respondent's actions, she suffered financial losses.

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**Claim Data**

Claim: \$5,000.00

Interest: \$.00

Filing Fees: \$.00

Other: Unspecified

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**Award Data**

Award: \$5,000.00

Interest: At the rate of 6% per annum  
from 1/99 to date of award

Filing Fees: \$87.50

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 \$5,000.00. 2) Respondent is liable and shall pay Claimant interest at the rate of 6% per annum from January, 1999 to date of award. 3) All other relief requests are denied. 4) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay Claimant \$87.50 as reimbursement of one-half of the filing fee.

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent, Won Forgione was served notice of the Statement of Claim and Notification of Arbitrator by regular mail and Overdue Notice by certified mail, as evidenced by the signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

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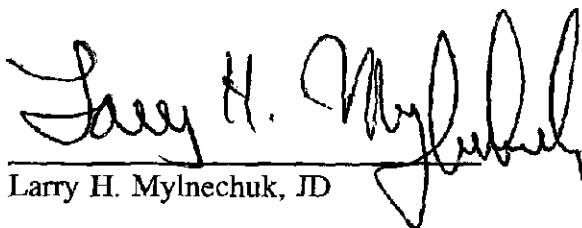
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Award 03-00726

Larry H. Mylnechuk, JD

Sole Public Arbitrator

**AFFIRMATION**

I, Larry H. Mylnechuk, JD, 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.

  
Larry H. Mylnechuk, JD

9-3-03  
Signature Date

September 12, 2003  
Date of Service (For NASD-DR office use only)