

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

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CASE: 04-06547

Kris Karra, (Claimant/Counterclaim Respondent) vs. AOS, Inc., (Respondent/Counterclaim Claimant)

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**ATTORNEYS:**

Claimant/Counterclaim Respondent appeared pro se, North Vancouver, BC, Canada.

For Respondent/Counterclaim Claimant appeared Chief Compliance Officer, Gary M. DeWeese, Chicago, IL.

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**NATURE OF DISPUTE:** Customer vs. Member

**DATE FILED:** September 15, 2004

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**CASE SUMMARY:** Claimant /Counterclaim Respondent alleged that Respondent/Counterclaim Claimant made an unauthorized trade knowing there was insufficient funds in his cash account to cover the cost of trade. Claimant/Counterclaim Respondent maintained that due to Respondent/Counterclaim Claimant's actions, he suffered a loss. Claimant/Counterclaim Respondent's claim involved various options.

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**COUNTER-CLAIM SUMMARY:** Respondent/Counterclaim Claimant alleged that as a direct and proximate result of Claimant/Counterclaim Respondent's material breach of contract and frivolous claims of unauthorized trades, AOS, Inc. suffered damages.

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**Claim Data**

Claim: \$1,824.92  
Punitive: \$2,500.00  
Attorney Fees: Unspecified  
Filing Fees: Unspecified

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**Award Data**

Award: \$272.39  
Punitive: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$175.00

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**Counterclaim Data**

Claim: \$250.00  
Interest: Unspecified  
Attorney's Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$.00  
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/Counterclaim Claimant is liable and shall pay to the Claimant/Counterclaim Respondent \$272.39. 2) All requests for

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attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant/Counterclaim Respondent deposited previously. 6) Respondent/Counterclaim Claimant is liable and shall pay Claimant/Counterclaim Respondent \$175.00 as reimbursement of the filing fee.

COUNTERCLAIM AWARD: 1) The claims of Respondent/Counterclaim Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall invoice for the \$225.00 filing fee that the Respondent/Counterclaim Claimant has deposited previously.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent/Counterclaim Claimant has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

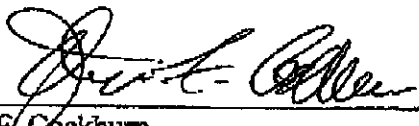
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John F. Cockburn

Sole Public Arbitrator

AFFIRMATION

I, John F. Cockburn, 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.

  
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John F. Cockburn

July 21, 2005  
(Signature Date)

July 21, 2005  
Date of Service (For NASD-DR office use only)