

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

---

CASE: 04-07279

Ryan Beck & Co., Inc., Claimant v. Robert Marquez, Respondent

---

**ATTORNEYS:**

For Claimant Ryan Beck & Co., Inc. ("Claimant") appeared Jeffrey Cohen, Esq., in-house counsel, Ryan Beck & Co., Inc., Livingston, NJ.

Respondent Robert Marquez ("Respondent") appeared *pro se*, Nesconset, NY.

---

**NATURE OF DISPUTE:** Member v. Associated Person.

**DATE FILED:** October 14, 2004.

---

**CASE SUMMARY:** Claimant alleged that Respondent failed to repay monies owed pursuant to the terms of a Promissory Note. Claimant maintained that due to Respondent's actions, the company suffered losses.

---

**Claim Data**

Claim: \$25,000.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

---

**Award Data**

Award: \$25,000.00  
Interest: \$0.00  
Attorney Fees: \$0.00  
Filing Fees: \$525.00  
Other: \$0.00

---

**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 for and shall pay Claimant \$25,000.00. 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 retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$525.00 as reimbursement of one-half of the filing fee.

---

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

Page Two  
Award 04-07279

Dean E. Kois

Sole Non-Public Arbitrator

AFFIRMATION

I, Dean E. Kois, 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.

  
Dean E. Kois

  
Signature Date

March 11, 2005

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