

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-02820

Andrea Kirshenbaum and Susan P. Kleinman, (Claimants) vs. PTI Securities & Futures, LP,
(Respondent)

ATTORNEYS:

Claimants appeared pro se, Northbrook, IL and Evanston, IL.

For Respondent appeared in-house counsel, Lawrence H. Kelch, Chicago, IL.

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: May 26, 2005

CASE SUMMARY: Claimants alleged that Respondent executed an order that immediately caused them to violate margin requirements. Claimants further alleged failure to supervise and failure to execute. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved options.

Claim Data

Claim: \$14,400.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of the Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously.

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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Award 05-02820

Theodore W. Wrobleski, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Theodore W. Wrobleski, Esq., 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.



Theodore W. Wrobleski, Esq.

10/14/05

(Signature Date)

October 27, 2005

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