

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Name of the Claimant

Charles Fink, individually, and for the
Benefit of Henry Fink

Case Number: 05-02927

Name of the Respondent

Paul R. Meehl

Hearing Site: Dallas, Texas

NATURE OF DISPUTE

Public Customer v. Associated Person

REPRESENTATION OF PARTIES

Claimant, Charles Fink, individually, and for the Benefit of Henry Fink, hereinafter referred to as Claimant, appeared pro se.

Respondent Paul R. Meehl, hereinafter referred to as "Respondent": Geoffrey P. Jarpe, Esq., of Minneapolis, Minnesota.

CASE INFORMATION

Statement of Claim filed: June 6, 2005

Claimant signed the Uniform Submission Agreement: June 20, 2005.

Statement of Answer filed by Respondent on: August 19, 2005.

Respondent signed the Uniform Submission Agreement: August 5, 2005.

Respondent's Pre-Hearing Memorandum and Motion to Dismiss filed: December 13, 2005.

CASE SUMMARY

Claimant asserted that Respondent recommended the purchase of an investment in Stockwalk Group commercial paper that lost value as part of the MJK Clearing bankruptcy.

Unless specifically admitted in his Answer, Respondent denied the allegations made in the Statement of Claim and asserted the following defenses:

1. Claimant has failed to state any claim upon which relief can be granted;
2. Claimant's claims are barred in whole or in part by the conduct of others with respect of which Respondent had no knowledge and no control, nor any duty or

- ability to control;
3. Claimant's claims are barred by the applicable statutes of limitations; and,
 4. Respondent acted at all times honestly and in good faith, which is an absolute bar to Claimant's claims for compensatory and punitive damages.

RELIEF REQUESTED

Claimant requested:

Compensatory Damages	\$17,153.40
Punitive Damages	Unspecified Amount
Interest	3% from 10/1/01 until paid
Other Costs	Cost of Arbitration
Other Monetary/Non-Monetary Relief if any:	Buy back the investment

Respondent requested that the Panel dismiss all claims asserted in this arbitration and award Respondent his costs incurred in defending this matter, including reasonable attorneys' fees.

OTHER ISSUES CONSIDERED AND DECIDED

Respondent's Motion to Dismiss was considered as part of the hearing.

AWARD

After considering the pleadings, the testimony and evidence presented at the hearing, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. The Statement of Claim is hereby dismissed and denied in its entirety;
2. The parties shall bear their own costs of arbitration, including any attorneys' fees; and,
3. Any and all relief not specifically addressed herein, including punitive or treble damages, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$125.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the

dispute. Accordingly, MJK Clearing, Inc. was the Respondent's former firm and the following Member Fee was assessed:

Member surcharge = \$ 425.00

Due to the firm's bankruptcy, this fee was waived.

Adjournment Fees

Adjournments granted during these proceedings for which fees were assessed: None.

Forum Fees and Assessments

The Arbitrator has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with a single arbitrator @ \$450.00 = \$ 450.00

Pre-hearing conference: October 27, 2005 1 session

Two (2) Hearing sessions @ \$450.00 = \$ 900.00

Hearing Date: December 20, 2005 2 sessions

Total Forum Fees = \$1,350.00

The Arbitrator has assessed \$675.00 of the forum fees to the Claimant, Charles Fink, individually, and for the Benefit of Henry Fink, and has assessed the remaining \$675.00 of the forum fees to the Respondent, Paul R. Meehl.

SEE SUMMARY

Claimant Charles Fink, individually, and for the Benefit of Henry Fink, is solely liable for:

Initial Filing Fee = \$ 125.00

Forum Fees = \$ 675.00

Total Fees = \$ 800.00

Less payments = \$ 575.00

Balance Due NASD Dispute Resolution = \$ 225.00

Respondent Paul R. Meehl is solely liable for:

Forum Fees = \$ 675.00

Less payments = \$ 0.00

Balance Due NASD Dispute Resolution = \$ 675.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

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ARBITRATION PANEL

James Mervin Benson, Jr., Esq. - Public Arbitrator

Arbitrator's Signature


James Mervin Benson, Jr., Esq.
Public Arbitrator

1-6-2006
Signature Date

1/9/06 K/CA
Date of Service (For NASD Dispute Resolution office use only)