

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-00471

Ryan Beck & Co., Inc., (Claimant) vs. Frederick Blick, (Respondent)

ATTORNEYS:

For Claimant appeared in-house counsel, Jeffrey Primiano, Esq., Livingston, NJ.

Respondent appeared *pro se*, Sausalito, CA.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: January 30, 2006

CASE SUMMARY: Claimant alleged that Respondent breached an employment contract by failing to repay monies owed pursuant to the terms of a promissory note. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

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

Award Data

Award: \$25,000.00
Interest: \$.00
Attorney Fees: \$.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) Respondent is liable and shall pay Claimant \$25,000.00. 2) All requests for attorney fees are denied. 3) All requests for interest 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.

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

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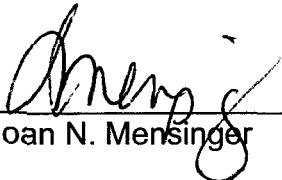
Joan N. Mensinger


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Sole Non-Public Arbitrator

AFFIRMATION

I, Joan N. Mensinger, 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.


Joan N. Mensinger


(Signature Date)

October 19, 2006

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