

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02444

Sanjana Goyle, (Claimant/Counterclaim Respondent) vs. Interactive Brokers, LLC,
(Respondent/Counterclaim Claimant)

ATTORNEYS:

Claimant/Counterclaim Respondent t appeared *pro se*, Sacramento, CA.

For Respondent/Counterclaim Claimant appeared in-house counsel John Nielands,
Washington, DC.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: May 10, 2006

CASE SUMMARY: Claimant/Counterclaim Respondent alleged that Respondent/Counterclaim Claimant filed and posted false reports and misleading reports regarding investments. Claimant/Counterclaim Respondent further alleged churning and trading to profit, discrimination, negligence, violation of SEC Rule 17A and wrongful and negligent liquidation. Claimant/Counterclaim Respondent maintained that due to Respondent/Counterclaim Claimant's actions, she suffered a financial loss. Claimant/Counterclaim Respondent's claim involved options.

COUNTERCLAIM SUMMARY: Respondent/Counterclaim Claimant alleged that Claimant/Counterclaim Respondent refused to satisfy her debt. Respondent/Counterclaim Claimant maintained that due Claimant/Counterclaim Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$24,000.00
Punitive: \$1,000.00
Attorney Fees: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Attorney Fees: \$.00

Counterclaim Data

Claim: \$10,267.28
Interest: Unspecified
Filing Fees: \$.00

Counterclaim Award Data

Award: \$10,267.28
Interest: \$.00
Filing Fees: \$1,050.00

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 Claimant/Counterclaim Respondent are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution waived the \$425.00 filing fee that the Claimant would have deposited at the time of filing. 6) The \$425.00 filing fee shall remain waived.

Page Two
Award 06-02444

COUNTERCLAIM AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant/Counterclaim Respondent is liable and shall pay to Respondent/Counterclaim Claimant \$10,267.28. 2) All requests for interest are denied. 3) NASD Dispute Resolution will invoice for the \$1,050.00 filing fee that the Respondent/Counterclaim Claimant should have deposited previously. 4) Claimant/Counterclaim Respondent is liable and shall pay to Respondent/Counterclaim Claimant \$1,050.00 as reimbursement of the filing fees.

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

Page Three
Award 06-02444


Jeffrey M. Allen, Esq.

-

Sole Public Arbitrator

AFFIRMATION

I, Jeffrey M. Allen, 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.


Jeffrey M. Allen, Esq.


(Signature Date)

December 22, 2006
Date of Service (For NASD-DR office use only)