

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-01576

Henry A. Uhl, claimant vs. Joe Williams, respondent.

ATTORNEYS:

Claimant, Henry Uhl, ("Claimant"), appeared Pro Se., Calhoun, GA.

Respondent, Joe Williams, ("Respondent"), did not respond to the Statement of Claim.

DATE FILED: April 5, 1999

CASE SUMMARY: Claimant alleged that due to Respondent's negligence and omission of facts, he was not informed about account related margin calls, and as a result he incurred financial losses.

Claim Data

Claim: \$5,000.00
Interest: Unspecified

Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$5,000.00
Interest: at the rate of 10% per annum
from June, 1998 to June, 2000.
Filing Fees: \$175.00
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 to the Claimant \$5,000.00. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 10% per annum from June, 1998 to June, 2000. 3) All other relief requests are denied. 4) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay Claimant \$175.00 as reimbursement of the filing fee.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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Award 99-01576

AFFIRMATION

I, Kelly Jean Beard, 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.

Kelly Jean Beard
Kelly Jean Beard

August 28, 2000
Date of award