

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-05292

Ameritrade, Inc., claimant vs. Steven Noh, respondents.

ATTORNEYS:

For Claimant appeared in-house counsel, Eric E. Hamilton, Esq., Bellevue, NE.

Respondent did not respond to the Statement of Claim.

DATE FILED: November 24, 1999

CASE SUMMARY: Claimant alleged that the respondent failed to pay an unsecured debit balance in his account and all attempts to collect the balance was unsuccessful. Claimant further alleged that the respondent did not maintain sufficient margin in his account as stated in his Customer Agreement.

Claim Data

Claim: \$4,614.26
Filing Fees: \$525.00
Interest: unspecified
Other: unspecified

Award Data

Award: \$4,317.14
Filing Fees: \$.00
Interest: \$.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 \$4,317.14. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

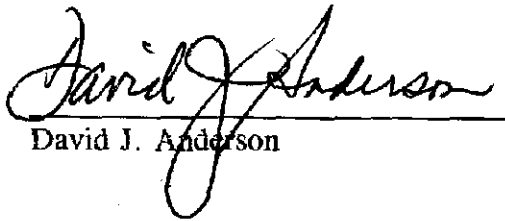
OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent Steven Noh was served notice of the Statement of Claim by regular mail and, Overdue Notice by certified mail, as evidenced by signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

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Award 99-05292

AFFIRMATION

I, David J. Anderson, 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.


David J. Anderson

March 23, 2001

Date of award