

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-03244

Joseph M. Ferraro, Jr., Claimant vs. TD Waterhouse Investor Services, Respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Jackson, NJ.

Respondent appeared through its in-house, Janis Campanella, Esq., New York, NY.

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DATE FILED: July 31, 2000

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CASE SUMMARY: Claimant alleged that Respondent failed to provide the "best execution" prices on trades when requested which resulted in losses in claimants' accounts.

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**Claim Data**

Claim: \$3,352.50  
Punitive: \$20,000.00  
Atty Fees: \$750.00  
Filing Fees: \$0.00  
Other: \$175.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$425.00  
Other: \$.00

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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 claimant 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) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent shall pay claimant \$425.00 as reimbursement of the filing fee.

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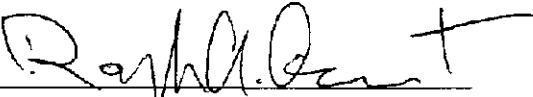
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, TD Waterhouse, has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-03244

**AFFIRMATION**

I, Ralph A. Gant, 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.

  
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Ralph A. Gant, Esq.

February 16, 2001

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Date of Award