

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03609

Barbara Finn-Pressley, Claimant vs. TD Waterhouse Investor Services, Inc., Respondent.

ATTORNEYS:

Claimant appeared Pro Se, La Jolla, CA.

For Respondent appeared Janis Campanella, Esq., Assistant Counsel, TD Waterhouse Investor Services, Inc., New York, NY.

DATE FILED: August 18, 2000

CASE SUMMARY: Claimant alleged that Respondent failed to execute a sale of 25,425 shares of Price Enterprises, Inc. which resulted in a loss.

ARBITRATOR'S REPORT: It is believed that an order was placed and received, and statements made by Claimant were true. I requested additional information from Respondent who decided not to respond to my questions. My decision, therefore, is based solely on statements and facts presented to me.

Claim Data

Claim: \$15,890.63

Award Data

Award: \$15,890.63

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 \$15,890.63. 2) All other relief requests are denied. 3) The \$425.00 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, Respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-03609

AFFIRMATION

I, Carlton R. Robinson, Sr., 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.

A handwritten signature in cursive script, appearing to read "Carlton R. Robinson Sr.", written over a horizontal line.

Carlton R. Robinson, Sr.

May 31, 2001

Date of award