

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

CASE: 00-03970

Simon Hughes, Claimant vs. E\*Trade Securities, Respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Knoxville, TN.

Respondent appeared through Henry W. Carter, Palo Alto, CA.

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DATE FILED: September 9, 2000.

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**CASE SUMMARY:** Claimant alleged that Respondent negligently liquidated his account in order to cover debts owed to Respondent.

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**Claim Data**

Claim: \$24,500.00

Punitive: \$250.00

Atty Fees: unspecified

Filing Fees: \$425.00

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**Award Data**

Award: \$.00

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.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 Claimant's claims 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.

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

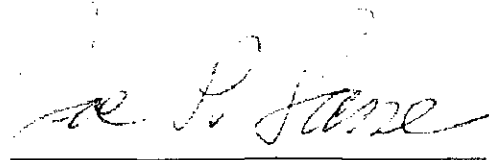
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**OTHER ISSUES:** E\*Trade Securities acted within its authority.

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Award 00-03970

AFFIRMATION

I, Joe P. Lane, 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 "Joe P. Lane", is written over a horizontal line.

Joe P. Lane

March 8, 2001  
Date of award