

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

CASE: 00-04959

Julian and Rosalie Kapalka, Claimants vs. Suretrade, Inc., Respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se, Havertown, PA.

For Respondent appeared Michael R. Parodi, Suretrade, Inc., Lincoln, RI.

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**DATE FILED:** November 8, 2000

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**ARBITRATOR'S REPORT:** fees assessed against respondent due to Claimant's understanding that he should "send a new check."

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**CASE SUMMARY:** Claimant alleged that Respondent was negligent because they sold his shares due to an unsigned check, after they were authorized by the Claimant not to.

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**Claim Data**

Claim: \$593.00  
Punitive: \$1,800.00  
Filing Fees: unspecified

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Filing Fees: \$75.00

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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 other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay Claimant \$75.00 as reimbursement of the filing fee.*

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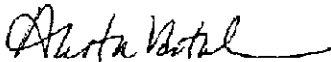
**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 00-04959

**AFFIRMATION**

I, Anita Vestal, MBA, 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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Anita Vestal, MBA

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Date of award

June 20, 2001  
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Date of service (for NASD office use only)