

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-05260

Steve Dumont and Chelsea Dumont, claimants vs. Stephen Estey, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Norwich, CT.

Respondent appeared Pro Se, Oakdale, CT.

DATE FILED: November 28, 2000

CASE SUMMARY: Claimants alleged that respondent failed to execute a trade of 3COM stock in a timely manner thereby causing losses to claimants' account.

ARBITRATOR'S REPORT: The Claimants had adequate time at the time of the trade in question to cancel the trade if he were dissatisfied with it.

Claim Data

Claim: \$2,445.00
Filing Fees: \$125.00
Other: \$.00

Award Data

Award: \$.00
Filing Fees: \$37.50
Other: \$.00

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 \$37.50 as reimbursement of the filing fee.

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

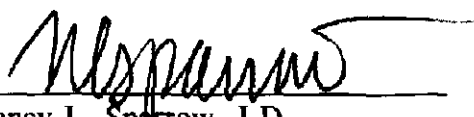
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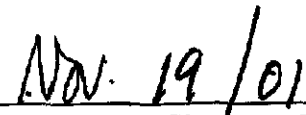
Nancy L. Sparrow, J.D.

Sole Public Arbitrator

AFFIRMATION

I, Nancy L. Sparrow, J.D., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Nancy L. Sparrow, J.D.


Signature Date

December 5, 2001
Date of Service (For NASD-DR office use only)