

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-05645

Eric L. Delvallee, claimant vs. Daniel Laserna and TD Waterhouse Investor Services, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Los Angeles, CA.

For Respondents appeared Janis Campanella, Esq., in-house counsel, New York, NY.

DATE FILED: December 21, 2000

CASE SUMMARY: Claimant alleged respondents failed to disclose the risks of trading on margin and as such created a loss.

Claim Data

Claim: \$15,000.00

Filing fee: \$0.00

Award Data

Award: \$.00

Filing fee: \$.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. The \$125.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. Respondent shall pay claimant \$62.50 as reimbursement of the filing fee.

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

OTHER ISSUES: The \$300.00 hearing session deposit was waived by the arbitrator.

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Award 00-05645

Erik R. Siering

Sole Public Arbitrator

AFFIRMATION

I, Erik R. Siering, 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.



Erik R. Siering

7-8-01

Signature Date

07/19/01

Date of Service (for NASD Office Use Only)