

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

CASE:00-05689

Lindsey C. Deal, claimant vs. E\*Trade, respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Sau Paulo, Brazil.

For Respondent appeared Eric E. Bronson, Esq. of the firm, Brid, Marella, Boxer & Wolpert, P.C., Los Angeles, CA.

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**DATE FILED:** December 26, 2000

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**CASE SUMMARY:** Claimant alleged that respondent failed to disclose relevant information regarding the expiration of 400 LightPath Class A warrant calls before any action could be taken. Claimant maintained that respondent's actions created losses in the account.

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**ARBITRATOR'S REPORT:** Respondent violated its duty to inform Claimant of the expiration. Due to the decline of LTPHA and Claimants non-liquidation of his existing position, there was no financial loss recognized by Claimant.

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**Claim Data**

Claim: \$22,108.00  
Filing Fees: \$.00

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**Award Data**

Award: \$.00  
Filing Fees: \$425.00

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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 \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent shall pay claimant \$425.00 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 \$400.00 Member Surcharge previously invoiced.

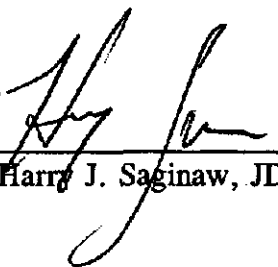
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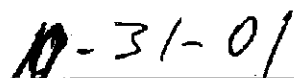
Harry J. Saginaw, JD

Sole Public Arbitrator

**AFFIRMATION**

I, Harry J. Saginaw, JD, 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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Harry J. Saginaw, JD

  
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Signature Date

November 14, 2001  
Date of Service (For NASD-DR office use only)