

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

CASE:01-00534

Daniel D. Randall, claimant vs. Seaboard Securities and Peter A. Roberto, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Northbrook, IL.

For Respondents appeared Jay Marc Israel, Esq., in-house counsel, Islandia, NY.

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DATE FILED: February 1, 2001

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**CASE SUMMARY:** Claimant alleged that respondent recommended stocks that were not suitable to his investment objectives. Claimant further alleges that respondent possibly engaged in excessive trading within his account and breached their fiduciary duty.

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**Claim Data**

Claim: \$20,397.38  
Punitive: \$1,500.00  
Attorney Fees: \$50.00  
Filing Fees: unspecified  
Other: \$675.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$.00  
Other: \$.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 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 Seaboard Securities has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Beatriz M. Olivera, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Beatriz M. Olivera, Esq., 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.

Beatriz M. Olivera  
Beatriz M. Olivera, Esq.

10-4-01  
Signature Date

October 17, 2001  
Date of Service (For NASD-DR office use only)