

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00830

Bruce Helfrich, claimant vs. Dreyfus Brokerage Services, Inc. and Susquehanna Investment Group, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Virginia Beach, VA.

For Respondent Dreyfus Brokerage Services, Inc. appeared Gary Martino, Senior Registered Option Principal, Los Angeles, CA.

For Respondent Susquehanna Investment Group appeared Richard J. McDonald, Bala Cynwyd, PA.

DATE FILED: February 20, 2001

CASE SUMMARY: Claimant alleged that respondents were negligent in placing his call option when they entered a stop limit order rather than a stop loss order, thereby causing a loss to his account.

Claim Data

Claim: \$5,278.00
Punitive: \$10,556.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$212.50
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 requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent Susquehanna Investment Group shall pay the claimant \$212.50 for reimbursement of one-half the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondents Dreyfus Brokerage Services and Susquehanna Investment Group have each paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondent Dreyfus Brokerage Services, Inc.'s Motion to Dismiss was granted prior to the final decision being rendered.

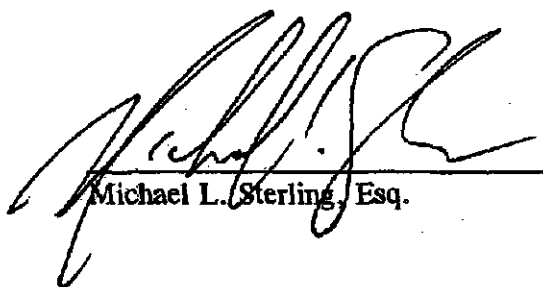
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Award 01-00830

Michael L. Sterling, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Michael L. Sterling, 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.



Michael L. Sterling, Esq.

12/25/01
Signature Date

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

1 ASD Dispute Resolution, Inc.

In the Matter of the Arbitration Between

01-00830

Bruce Helfrich

Claimant(s)

vs.

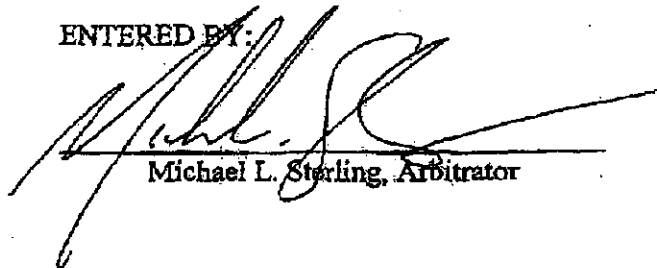
**OPINION AND ORDER
ON MOTION TO DISMISS**

Dreyfus Brokerage Services, Inc.
Susquehanna Investment Group

Respondent(s)

This matter came before me on the Motion to Dismiss submitted by Respondent, Dreyfus Brokerage Services, Inc. Having carefully reviewed the pleadings and other documents submitted by the parties, I grant the Motion for the reasons stated in the May 30, 2001, Motion to Dismiss.

ENTERED BY:



Michael L. Sterling, Arbitrator

STATE OF VIRGINIA
City of Norfolk

On this 5th day of September, 2001, before me personally appeared Michael L. Sterling, Esq. to me known and known before me to be the individual described in and who executed the foregoing instrument and he duly acknowledged to me that he executed the same.



Notary Public

My Commission Expires: 7/31/02