

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01077

Ivan Steinhardt, claimant vs. James L. Stoneham and J.W. Barclay & Co., Inc. respondents.

ATTORNEYS:

For Claimant appeared Robert H. Weiss, Esq., Jericho, NY.

Respondent James L. Stoneham appeared Pro Se, New York, NY.

For Respondent J. W. Barclay & Co., Inc. appeared Charles Lake, compliance officer, Northport, NY.

DATE FILED: March 5, 2001

CASE SUMMARY: Claimant alleged that respondents misrepresented information when recommending house stocks that were not suitable to the claimant's investment objectives. Claimant further alleges breach of fiduciary duty and negligent handling of his account.

Claim Data

Claim: \$19,644.00
Interest: unspecified
Attorney Fees: unspecified
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$425.00
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 attorney fees are denied. 3) All requests for interest 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. 6) Respondents are jointly and severally liable and shall pay to the claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent J. W. Barclay & Co., Inc. has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

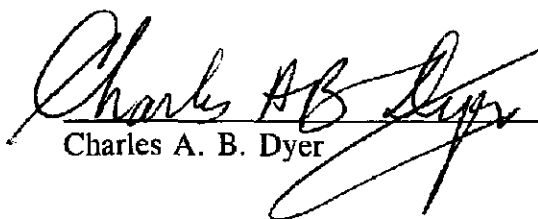
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Award 01-01077

Charles A.B. Dyer

- Sole Public Arbitrator

AFFIRMATION

I, Charles A.B. Dyer, 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.


Charles A. B. Dyer


Signature Date

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