

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-03109

Richard E. Antkowiak, Claimant vs. E*Trade Securities, Inc., Respondent.

ATTORNEYS:

Claimant, Richard E. Antkowiak, appeared pro se, Auburn, MA.

For Respondent, E*Trade Securities, Inc., appeared Colleen Wink, Compliance Analyst, of E*Trade Securities, Inc., Rancho Cordova, CA.

DATE FILED: June 12, 2001

CASE SUMMARY: Claimant alleged that respondent was negligent in providing him with accurate and reliable information, which caused him to liquidate his shares and incur losses in his account.

Claim Data

Claim: \$877.00
Punitive: \$500.00
Interest: \$25.00 (based upon a rate
of 5% per annum for 7 months)
Filing Fees: \$75.00
Other: \$930.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$0.00
Filing Fees: \$37.50
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 interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent shall pay claimant \$37.50 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

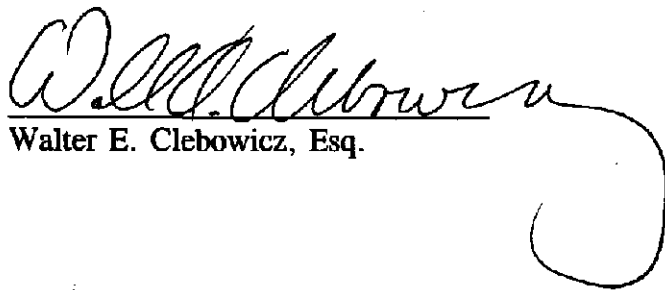
Page Two
Award 01-03109

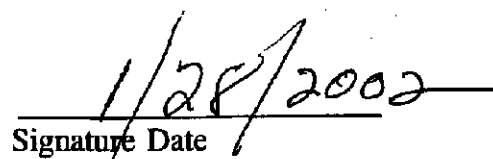
Walter E. Clebowicz, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Walter E. Clebowicz, 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.


Walter E. Clebowicz, Esq.


Signature Date

February 5, 2002
Date of Service (For NASD-DR office use only)