

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05030

Debra S. Barnes, claimant vs. Tamborello Capital Management, LLC, and TD Waterhouse Investor Services, Inc., respondents.

ATTORNEYS:

Claimant appeared pro se, Houston, TX.

For Respondent TD Waterhouse Investor Services, Inc., appeared in-house counsel, Janis Campanella, Esq., Boca Raton, FL.

Respondent Tamborello Capital Management, LLC did not submit to arbitration.

DATE FILED: August 27, 2002

CASE SUMMARY: Claimant alleged that respondents fraudulently overcharged fees in her account. Claimant maintained that due to respondents' actions, her account suffered losses.

Claim Data

Claim: \$25,000.00
Interest: \$4,718.18
Filing Fees: \$450.00
Other: unspecified

Award Data

Award: \$7,485.75
Interest: \$.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) Respondent TD Waterhouse Investor Services, Inc. is liable and shall pay claimant \$7,485.75. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondent TD Waterhouse Investor Services, Inc. is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent TD Waterhouse Investor Services, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondent Tamborello Capital Management, LLC was served on a voluntary basis as it is not a NASD member, it was not required to arbitrate, and, therefore, declined to submit a Statement of Answer.

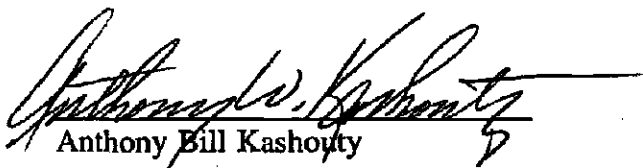
Page Two
Award 02-05030

Anthony Bill Kashouty

Sole Public Arbitrator

AFFIRMATION

I, Anthony Bill Kashouty, 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.


Anthony Bill Kashouty


Signature Date

March 14, 2003
Date of Service (For NASD-DR office use only)