

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06110

Robert Keith Honaker, claimant vs. Joseph Stevens & Co., Inc., Scott Levine and Douglas Costabile, respondents.

ATTORNEYS:

Claimant appeared pro se, Pelham, AL.

For Respondents appeared in-house counsel, James E. Siegel, Esq., New York, NY.

DATE FILED: October 11, 2002

CASE SUMMARY: Claimant alleged that respondents purchased shares of Sirius Radio Stock with no covered call option contracts without his authorization. Claimant maintained that due to respondents' actions, the account suffered losses.

Claim Data

Claim: \$5,570.00
Punitive: \$5,000.00
Interest: 167.00
Attorney Fees: \$300.00
Filing Fees: \$425.00
Other: \$200.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 interest are denied. 3) All requests for attorney fees are denied. 4) All requests for punitive damages are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Joseph Stevens & Co., Inc., has paid to NASD Dispute Resolution the \$325.00 of the \$425.00 Member Surcharge previously invoiced.

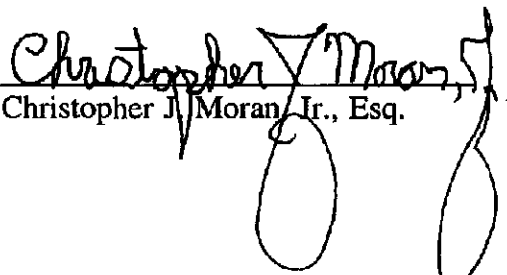
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Christopher J. Moran, Jr., Esq.

Sole Public Arbitrator

AFFIRMATION

I, Christopher J. Moran, Jr., 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.


Christopher J. Moran, Jr., Esq.

2/28/03
Signature Date

March 6, 2003
Date of Service (For NASD-DR office use only)