

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06421

Stephen Balestra Jr., Claimant vs. Delta Asset Management Company LLC, Respondent.

ATTORNEYS:

Claimant, Stephen Balestra Jr. ("Claimant") appeared Pro Se., Reno, NV.

Respondent, Delta Asset Management Company LLC, ("Respondent") appeared through its in-house counsel, Anthony Donnadio, Mineola, NY.

DATE FILED: October 25, 2002

CASE SUMMARY: Claimant alleged that Respondent failed to cancel a stop loss order of Intergraph Corporation stock shares (symbol INGR) on his account. Claimant maintained that he suffered financial losses due to Respondent's action.

Claim Data

Claim: \$5,403.84
Punitive: \$1,500.00
Filing Fees: \$325.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$162.50
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 \$325.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay Claimant \$162.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Delta Asset Management Company LLC, has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.


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Award 02-06421

Michael R.E. Sanders, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Michael R.E. Sanders, 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 R.E. Sanders, Esq.

6/8/03

Signature Date

July 3, 2003

Date of Service (For NASD-DR office use only)