

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-07347

George F. Koch, claimant vs. TD Waterhouse Investor Services, Inc., respondent.

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**ATTORNEYS:**

Claimant appeared pro se, St. Petersburg, FL.

For Respondent appeared in-house counsel, Janis Campanella, Boca Raton, FL.

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DATE FILED: December 5, 2002

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**CASE SUMMARY:** Claimant alleged that respondent gave him invalid information regarding trades in his account. Claimant maintained that because of respondent's actions, his account suffered a loss.

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**Claim Data**

Claim: \$4,434.63  
Punitive: \$500.00  
Interest: \$591.25  
Filing Fees: Unspecified

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Interest: \$.00  
Filing Fees: \$.00

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**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 \$175.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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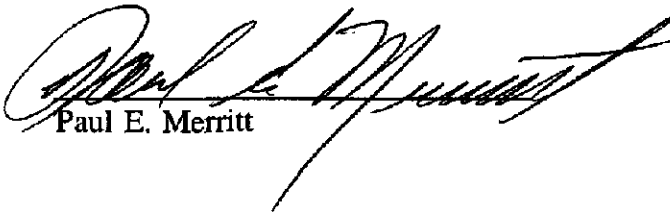
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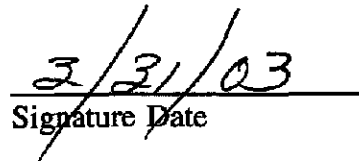
Paul E. Merritt

Sole Public Arbitrator

**AFFIRMATION**

I, Paul E. Merritt, 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.

  
Paul E. Merritt

  
Signature Date

April 8, 2003

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