

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

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CASE: 05-02306

Edwin G. Whinney, (Claimant) vs. TD Waterhouse Investor Services, Inc., (Respondent)

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**ATTORNEYS:**

Claimant appeared pro se, Warrington, PA.

For Respondent appeared Janine M. Lucas, Esq., of the firm Hertz, Schram & Saretsky, P.C., Bloomfield Hills, MI.

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** April 18, 2005

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**CASE SUMMARY:** Claimant alleged that Respondent negligently handled his account. Claimant further alleged omission of facts. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various common stock.

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**Claim Data**

Claim: \$7,000.00

**Award Data**

Award: \$2,052.00

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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) Respondent is liable and shall pay to the Claimant \$2,052.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

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

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Award 05-02306

Roslyn G. Pollack, Esq.

Sole Public Arbitrator

AFFIRMATION

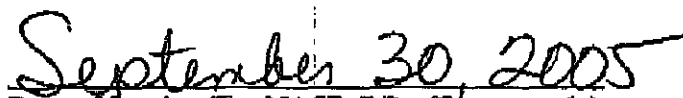
I, Roslyn G. Pollack, Esq., do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.



Roslyn G. Pollack, Esq.

9/23/2005

(Signature Date)

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