

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-04157

Michael Pochna, (Claimant) vs. T.D. Waterhouse Investor Services, Inc. and Randy Kornberg, (Respondents)

ATTORNEYS:

Claimant appeared *pro se*, New York, NY.

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

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: August 7, 2005

CASE SUMMARY: Claimant alleged that Respondents made errors in his account and that they are responsible for legal fees incurred to hire an attorney. Claimant maintained that due to Respondents' actions, he suffered financial losses. Claimant's claim involved common stock.

Claim Data

Claim: \$8,000.00
Punitive: \$1,000.00

Award Data

Award: \$.00
Punitive: \$.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 the Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, T.D. Waterhouse Investor Services, Inc., has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.


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Award 05-04157

Arthur Neil Tolciss, Esq.


Sole Public Arbitrator

AFFIRMATION

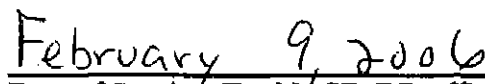
I, Arthur Neil Tolciss, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.



Arthur Neil Tolciss, Esq.



(Signature Date)



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