

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-04422

Chwen-Jiann Fang and I-Fen Hu, claimant v. E*Trade Securities, Inc., respondents.

ATTORNEYS:

Claimants appeared Pro Se - Palo Alto, CA.

For Respondent

Bob Salvador, Compliance Analyst - Palo Alto, CA.

DATE FILED: October 4, 1996.

CASE SUMMARY: Claimants alleged failure to timely execute KLAC stock sell order.

Claim Data

Claim: \$875.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Atty 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 claimants are dismissed in their entirety. 2) All other requests for relief are denied. 3) The \$30.00 filing fee previously deposited by the claimants with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Thomas E. Mulvihill, 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.


Thomas E. Mulvihill, Esq.

July 9, 1997
Date of award