

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-00382

Barry A. Saunders, claimant vs. Charles Principato and R.D. White & Co., respondents.

ATTORNEYS:

Claimant appeared Pro Se., Hamden, CT.

For Respondents appeared Marc D. Powers, Esq. of the firm Parker Duryee Rosoff & Haft, New York, NY.

DATE FILED: January 27, 1999

CASE SUMMARY: Claimant alleged that respondents failed to execute a sell order on December 9, 1998. Claimant further alleged that respondents issued a check to him in settlement of the present claim and said check was returned for insufficient funds.

Claim Data

Claim: \$11,272.71
Filing Fees: unspecified

Award Data

Award: \$11,272.71
Filing Fees: \$.00

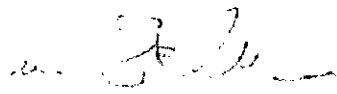
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$11,272.71. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Claimant shall return to respondent the uncashed, stale-dated check, number 5545, in the amount of \$3,312.56.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent R.D. White & Co., Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

Page Two
Award 99-00382

AFFIRMATION

I, Allen D. Sklar, 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.



Allen D. Sklar

November 29, 2000
Date of Award