

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

CASE: 99-01043

Tom McElligott, claimant vs. E*Trade Securities, Inc., respondent.

ATTORNEYS:

Claimant Tom McElligott appeared Pro Se., Williamsburg, Virginia.

Respondent E*Trade Securities, Inc., appeared through its Compliance Analyst, Bob Salvador, Palo Alto, California.

DATE FILED: 03/08/1999

CASE SUMMARY: Claimant alleged that on September 25, 1998, he placed a trade for 600 shares of Compaq stock to sell at \$33.25 with E*Trade Securities, Inc. Claimant maintained that E*Trade did not execute this trade.

Claim Data

Claim: \$5,552.75

Award Data

Award: \$.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 claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

Page Two
Award 99-01043

AFFIRMATION

I, Edward A. Dragon, 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.

Edward A. Dragon
Edward A. Dragon

February 15, 2000
Date of award