

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-01634

William F. May, claimant vs. E\*Trade Securities, Inc., respondent.

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**ATTORNEYS:**

Claimant, William F. May ("Claimant"), appeared Pro Se., Queen Creek, AZ.

Respondent, E\*Trade Securities, Inc. ("Respondent"), appeared through its Compliance Analyst, Bob Salvador, Palo Alto, CA.

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DATE FILED: April 20, 1999

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**CASE SUMMARY:** Claimant alleged that Respondent's manual and trading guides are unclear and misleading. Claimant further alleged that Respondent sold his stock, 2TheMart.com ("TMRT") without prior notice and as a result he suffer financial loss.

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**Claim Data**

Claim: \$2,300.00

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**Award Data**

Award: \$2,300.00

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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 \$2,300.00. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, E\*Trade Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-01634

AFFIRMATION

I, Quinton F. Seamons, 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.

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QUINTON F. SEAMONS  
Quinton F. Seamons

August 4, 2000  
Date of award