

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

CASE: 99-01683

David G. Counsell, claimant vs. Waterhouse Securities, Inc., respondent.

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**ATTORNEYS:**

Claimant David G. Counsell ("Claimant") appeared Pro Se, Bainbridge, WA.

Respondent Waterhouse Securities, Inc. ("Respondent") appeared through its First Vice President & Assistant Counsel, Janis Campanella, Esq., New York, NY.

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DATE FILED: 04/12/99

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CASE SUMMARY: Claimant alleged that Respondent inaccurately filled his purchase orders on February 9, 1999 for 2000 shares of Verticalnet.INC "VERT" with 2000 shares of VERI.

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**Claim Data**

Claim: \$9,780.00  
Filing Fees: \$0.00

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**Award Data**

Award: \$0.00  
Filing Fees: \$325.00

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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) The claims of claimant are dismissed in their entirety. 2) The \$325.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondent is assessed and shall pay claimant \$325.00 as reimbursement of the filing fee.

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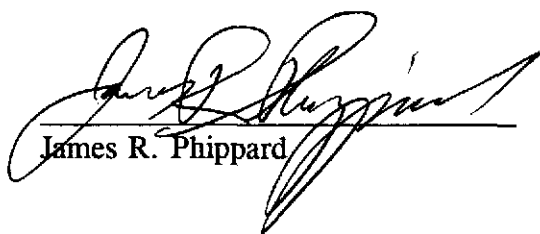
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 99-01683

**AFFIRMATION**

I, James R. Phippard, 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.

  
James R. Phippard

February 17, 2000  
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Date of award