

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

CASE: 99-01823

Dilys Huang, claimant vs. E*Trade Securities, Inc., respondent.

ATTORNEYS:

Claimant Dilys Huang ("Claimant"), appeared Pro Se., San Marino, California.

For Respondent E*Trade Securities ("Respondent"), Bob Salvador, Senior Compliance Analyst, Palo Alto, California.

DATE FILED: 4/20/1999

CASE SUMMARY: Claimant maintained that on December 7, 1998, he placed an order to sell 500 shares of UBID at limit price of \$49 while the stock was trading at \$50 5/8. Claimant alleged that although the stock fell below \$49, and then proceeded to rebound, his order was only partially executed.

Claim Data

Claim: \$4,000.00
Filing Fees: \$150.00

Award Data

Award: \$.00
Filing Fees: \$.00

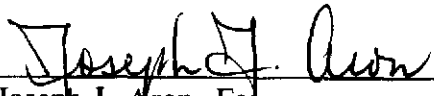
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 2) The \$175.00 filing fee previously deposited with the 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 \$200.00 Member Surcharge previously invoiced.

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Award 99-01823

AFFIRMATION

I, Joseph J. Aron, 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.



Joseph J. Aron, Esq.

April 5, 2000

Date of award