

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

CASE: 99-01824

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

ATTORNEYS:

Claimant, Dilys Huang, appeared Pro Se., San Marino, CA.

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

DATE FILED: 04/20/99

CASE SUMMARY: Claimant alleged that E*Trade Securities, Inc.'s on-line trading system malfunctioned, which resulted in claimant's inability to execute a sell order for shares of COMS.

Claim Data

Claim: \$2,625.00
Filing Fee: \$150.00

Award Data

Award: \$.00
Filing Fee: \$.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 \$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 99-01824

AFFIRMATION

I, Barbara M. Zak, 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.

Barbara M. Zak
Barbara M. Zak

November 18, 1999

Date of award