

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

CASE: 99-01933

Ralph R. Vanderlinde and Yingtao Gan Vanderlinde, Ten. Comm., claimant vs. Kennedy Cabot & Co. and Waterhouse Securities, Inc., respondents.

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**ATTORNEYS:**

Claimants, Ralph R Vanderlinde and Yingtao Gan Vanderlinde, Ten. Comm. ("Claimants"), appeared Pro Se., La Puente, CA.

For Respondents, Kennedy Cabot & Co. and Waterhouse Securities, Inc. ("Respondents"), appeared Janis Campanella, Esq., Assistant Counsel for Waterhouse Securities, Inc., New York, NY.

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DATE FILED: 04/27/99

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**CASE SUMMARY:** Claimant alleged that Respondents refused to exercise their required fiduciary responsibility to Claimants and inform them in a timely manner concerning any jeopardy of their short position in connection with shares of XEIKON N V stock held in their account. Claimants maintained that as a result of Respondents insecurity Claimants were caused to close their position at a loss against their wishes.

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**Claim Data**

Claim: \$4,800.00

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**Award Data**

Award: \$.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 \$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.

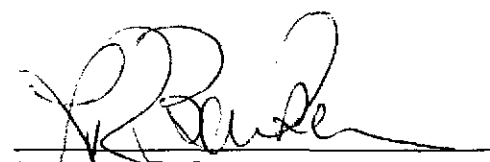
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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent, Waterhouse Securities, Inc., has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Lawrence R. Barker, 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.

  
Lawrence R. Barker

February 24, 2000

Date of award