

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

CASE: 99-02142

Sheri Ross-Carucci, claimant vs. Suretrade, Inc., respondent.

ATTORNEYS:

For Claimant Sheri Ross-Carucci ("Claimant"), appeared Marty Ross, Solana Beach, CA.

For Respondent Suretrade, Inc. ("Respondent"), Yolande D. Black, Assistant Director of Compliance for Suretrade, Inc., New York, NY.

DATE FILED: 5/10/1999

CASE SUMMARY: Claimant maintained that the Respondent had incorrectly placed a trading restriction on the account. Claimant further maintained that on November 24, 1999, he requested that his account be transferred to Datek however, because the equity level of his account was inaccurately reported by Respondent, the ACAT was declined. Claimant alleged that as result of his inability to liquidate the positions in his account, he incurred financial loss.

Claim Data

Claim: \$2,207.00
Punitive: \$2,500.00
Filing Fees: \$175.00

Award Data

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

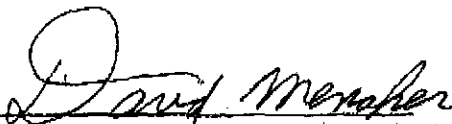
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with the 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 Suretrade, Inc. has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-02142

AFFIRMATION

I, David Menaker, 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.


David Menaker

April 13, 2000
Date of award