

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

CASE: 99-02249

Antonio Vernon, claimant vs. Web Street Securities, Inc., respondent.

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**ATTORNEYS:**

Claimant Antonio Vernon ("Claimant") appeared Pro Se., St. Louis, Missouri.

For Respondent Web Street Securities, Inc. ("Respondent"), appeared in-house counsel, Sara S. Lippold, Esq., Deerfield, IL.

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DATE FILED: 05/17/1999

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**CASE SUMMARY:** Claimant alleged that on February 8, 1999, he placed a buy limit order for a Yahoo option ("YZMAH") on the open through Respondent. Claimant maintained that Respondent failed to execute this trade. Claimant further alleged that Respondent's failure to execute has caused him significant damage.

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**Claim Data**

Claim: \$3,295.82

Interest: from February 11, 1999,  
at 8.5%.

Punitive: \$6,591.64

Filing Fees: \$.00

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**Award Data**

Award: \$2,095.82

Interest: at the rate of 8.5% per  
annum accruing from 2/11/99 to the  
date of the award.

Punitive: \$100.00

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) Respondent is liable and shall pay to the claimant \$2,095.82. 2) Respondent is liable and shall pay to the claimant \$100.00 in punitive damages. 3) Respondent is liable and shall pay to claimant interest accruing from 2/11/1999 until date of award, at the rate of 8.5% per annum. 4) All other relief requests are denied. 5) 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. 6) Respondent is liable 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.

Page Two  
Award 99-02249

**AFFIRMATION**

I, A. Daniel Feldman, 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.

  
A. Daniel Feldman, Esq.

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Date of award