

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

CASE: 99-02490

Joel M. and Sharon Black, JTWROS, claimants vs. E\*Trade Securities, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se., Roslyn, NY.

Respondent appeared through its Senior Compliance Analyst, Bob Salvador, Palo Alto, CA.

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DATE FILED: 06/01/99

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**CASE SUMMARY:** Claimants alleged that in October of 1998 respondent was negligent in handling their account in that respondent failed to execute a November 18th order. Claimants also alleged that respondent failed to pass along information to claimants it received from a company whose stock claimants held in street name on respondent's books.

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**Claim Data**

Claim: \$2,650.00  
Cost: unspecified

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**Award Data**

Award: \$.00  
Cost: \$.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 claimants 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.

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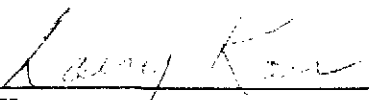
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-02490

**AFFIRMATION**

I, Larry Kars, 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.

  
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Larry Kars

February 24, 2000  
Date of award