

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

CASE: 99-02985

Floro L. Crisostomo, claimant vs. E*Trade Securities, Inc., respondent.

ATTORNEYS:

Claimant Floro L. Crisostomo ("Claimant"), appeared Pro Se., Reynoldsburg, OH.

For Respondent E*Trade Securities, Inc. ("Respondent"), Bob Salvador, Senior Compliance Analyst, E*Trade Securities, Inc. Menlo Park, CA.

DATE FILED: June 29, 1999

CASE SUMMARY: Claimant alleged that Respondent negligence in providing accurate, timely account information on request, resulted in financial loss.

Claim Data

Claim: \$3,281.25
Punitive: \$6,562.50
Filing Fees: \$325.00

Award Data

Award: \$3,281.25
Punitive: \$.00
Filing Fees: \$162.00

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 \$3,281.25. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) 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. 5) Respondent is liable and shall pay claimant \$162.50 as reimbursement of one half of the filing fee.

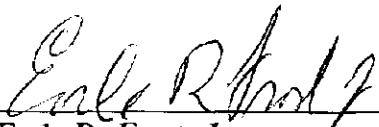
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: Claimant's Motion to Preclude Respondent's answer was denied by the Arbitrator.

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Award 99-02985

AFFIRMATION

I, Earle R. Frost, Jr., 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.



Earle R. Frost, Jr.

August 4, 2000
Date of award