

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

CASE: 99-03323

Zaslow Family Trust, claimant vs. E*Trade Securities, Inc., respondent.

ATTORNEYS:

For Claimant Zaslow Family Trust ("Claimant"), Arthur S. Leider, Esq., Investors Arbitration Specialists, San Diego, CA.

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

DATE FILED: July 21, 1999

CASE SUMMARY: Claimant alleged that because of Respondent's negligence, it was never notified regarding a call on a security which resulted in financial loss.

Claim Data

Claim: \$2,500.00

Atty Fees: unspecified

Filing Fees: \$75.00

Award Data

Award: \$.00

Atty Fees: \$.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 requests for attorney fees are hereby denied. 3) All other relief requests are denied. 4) The \$75.00 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 has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-03323

AFFIRMATION

I, Peter H. Ulrich, 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.



Peter H. Ulrich

Date of award ~~05/19/00~~