

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04027

John Dermot Sullivan, Claimant vs. Terry G. Stavropoulos, Respondent.

ATTORNEYS:

Claimant, John Dermot Sullivan, ("Claimant"), appeared Pro Se., Perth, Western Australia, Australia

Respondent, Terry G. Stavropoulos, ("Respondent"). appeared Pro Se., Syosset, NY.

DATE FILED: September 1, 1999

CASE SUMMARY: Claimant alleged that he established the account after Respondent's cold call campaign to his mobile and home phone. Claimant further alleged that Respondent used manipulative, deceptive and fraudulent devices and failed to disclose material facts when the account was established. Claimant maintained that Respondent was involved in stock price manipulation, and as a result he suffered financial loss.

Claim Data

Claim: \$25,000.00

Interest: Unspecified

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$19,155.00

Interest: at the statutory legal rate per annum from June 1, 1998 until payment of the award.

Filing Fees: \$425.00

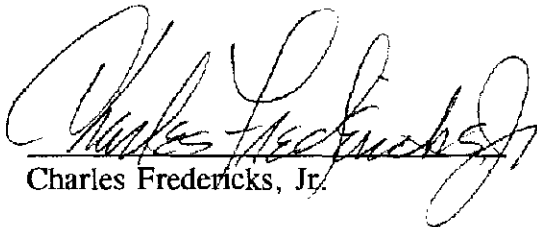
Other: \$.00

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 \$19,155.00. 2) Respondent is liable and shall pay to the Claimant interest at the statutory legal rate per annum from June 1, 1998 until payment of the award. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

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AFFIRMATION

I, Charles Fredericks, 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.


Charles Fredericks, Jr.

October 18, 2000
Date of award