

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04249

Deborah Dimaggio, Claimant vs. Peter Dimaggio, Respondent.

ATTORNEYS:

Claimant, Deborah Dimaggio, ("Claimant"), appeared Pro Se., North Tonawanda, NY.

Respondent, Peter Dimaggio, ("Respondent"), did not respond to the Statment of Claim.

DATE FILED: November 11, 1998

CASE SUMMARY: Claimant alleged that Respondent engaged in unauthorized and excessive trading in her account. Claimant maintained that as a result she suffered financial loss.

Claim Data

Claim: \$3,000.00
Interest: Unspecified

Award Data

Award: \$3,000.00
Interest: at the rate of 9% per annum from 3/97 to date of award.

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 \$3,000.00. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 9% per annum from 3/97 to date of the award. 3) All other relief requests are denied. 4) The \$125.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

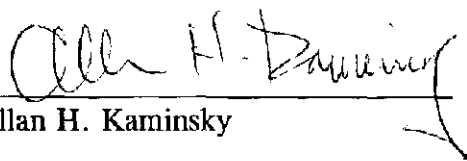
OTHER FEES: Pursuant to Rule 10333 of the Code, Sterne Agee & Leach, Inc. has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Allan Kaminsky, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Allan H. Kaminsky

October 18, 2000

Date of Award