

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04286

Richard H. and Carol McCusker, Claimant vs. Citicorp Investment Services, Respondent.

ATTORNEYS:

Claimants, Richard H. and Carol McCusker ("Claimants"), appeared Pro Se., Avon, CT.

For Respondent, Citicorp Investment Services ("Respondent"), appeared in-house counsel, Donna Daniels, Long Island City, NY.

DATE FILED: September 20, 1999

CASE SUMMARY: Claimants alleged that they placed a Sell Stop Loss order with Respondent for 1,000 share of (GRIN) Grand Toys Int'l. Claimants maintained that the order was accepted and then cancelled by respondent without notification or authorization.

Claim Data

Claim: \$6,200.00
Filing Fees: \$325.00

Award Data

Award: \$.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 Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimants, shall be retained by NASD Dispute Resolution, Inc.

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

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Award 99-04286

AFFIRMATION

I, Edward Baer, 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.

A handwritten signature in cursive script, appearing to read "Edward Baer", is written over a horizontal line.

Edward Baer

October 18, 2000

Date of Award