

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04306

An Thi Thuy Truong, claimant vs. Discover Brokerage Direct, Inc., respondent.

ATTORNEYS:

Claimant, An Thi Thuy Truong, ("Claimant"), appeared Pro Se., Riverside, CA.

For Respondent, Discover Brokerage Direct, Inc., ("Respondent"), appeared in-house counsel Judith M. Rosenberg, Esq., San Francisco, CA.

DATE FILED: September 21, 1999

CASE SUMMARY: Claimant alleged that she placed an order to purchase 200 shares of TheGlobe.com (TGLO) stock an initial public offering. Claimant further alleged that she did not own a margin account, and that Respondent should not have allowed her to exceed her buying power. Claimant maintain that Respondent then sold stock in her account to cover the debit balance.

Claim Data

Claim: \$5,959.86
Punitive: \$4,040.14
Filing Fees: \$325.00
Other: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$.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) The claims of Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$325.00 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, Respondent has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

Page Two
Award 99-04306

AFFIRMATION

I, Katherine Jane Morris, 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.

Katherine Jane Morris
Katherine Jane Morris

September 28, 2000
Date of award