

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-04307

Sung A. Kim and Jung H. Kim, claimants vs. E\*Trade Securities, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se, Morton Grove, IL.

Respondent appeared through its Compliance Analyst, Bob Salvador, Palo Alto, CA.

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DATE FILED: September 21, 1999

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**CASE SUMMARY:** Claimant alleged that respondent failed to check the equity in the account prior to executing a sell order requested by claimant. Claimant further alleged that the respondent then sold their other stocks on margin before they were able to cover the margin call.

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**Claim Data**

Claim: \$19,841.00  
Interest: \$1,454.00  
Filing Fees: \$425.00

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**Award Data**

Award: \$19,395.00  
Interest: \$.00  
Filing Fees: \$212.50

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**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 claimants \$19,395.00. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimants, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimants \$212.50 as reimbursement for half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 99-04307

**AFFIRMATION**

I, Gus E. Glick, 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.

  
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Gus E. Glick

November 17, 2000  
Date of award