

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04454

Joseph and Gail Yankauskas, claimant vs. TD Waterhouse Securities, Inc., respondent.

ATTORNEYS:

Claimants Joseph and Gail Yankauskas, ("Claimant"); appeared Pro Se., Forked River, NJ.

For Respondent TD Waterhouse Securities, Inc. ("Respondent"), appeared Janis Campanella, Esq., of TD Waterhouse Investor Services, Inc. New York, NY.

DATE FILED: September 30, 1999

CASE SUMMARY: Claimants alleged that Respondent failed to execute an order for the purchase of 1000 shares of Safra Republic "SFRHF" stocks placed on May 7, 1999. Claimants maintained that as a result they suffered financial loss.

Claim Data

Claim: \$13,500.00
Other: Unspecified

Award Data

Award: \$.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 Claimants are dismissed in their entirety. 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.

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

Page Two
Award 99-04454

AFFIRMATION

I, Kenneth L. Stewart, 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.


Kenneth L. Stewart

October 18, 2000
Date of award