

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04664

Freda Hanover, claimant vs. Waterhouse Securities, Inc. n/k/a TD Waterhouse Investor Services, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se., Churchville, PA.

For Respondent appeared in-house counsel Janis Campanella, Esq., New York, NY.

DATE FILED: October 15, 1999

CASE SUMMARY: Claimant alleged that respondent failed to provide adequate scrutiny with respect to the purchase of highly volatile stocks; specifically, 500 shares of EBAY shares illegally purchased on claimant's account by an individual who gained access to confidential information.

Claim Data

Claim: \$1,692.78
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$37.50

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 other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$37.50 as reimbursement for 50% of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-04664

AFFIRMATION

I, Howard Cyr, 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.

Howard Cyr
Howard Cyr

October 30, 2000

Date of Award