

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-05076

Barbara J. Newby & Richard D. Newby, claimants vs. David Swanson and Stephanie Campbell, respondents.

ATTORNEYS:

Claimants, Barbara J. Newby & Richard D. Newby, appeared Pro Se, College Place, WA.

Respondent, David Swanson, appeared Pro Se, West Linn, OR.

Respondent, Stephanie Campbell, appeared Pro Se, West Linn, OR.

DATE FILED: November 10, 1999

CASE SUMMARY: Claimants alleged that they instructed Respondent Swanson to purchase two option contracts of CMGI Inc. at \$36.00 or less on a limit order. They further alleged that respondent failed to execute the order as instructed causing losses in the account.

Claim Data

Claim: \$8,253.00
Punitive: \$1,747.00
Filing Fees: \$325.00

Award Data

Award: \$4,126.55
Punitive: \$.00
Filing Fees: \$162.50

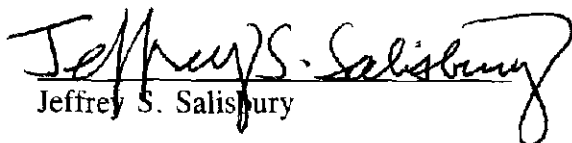
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent David Swanson is liable and shall pay to the claimant \$4,126.55. 2) All claims against respondent Stephanie Campbell are dismissed in their entirety. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent David Swanson is liable and shall pay claimant \$162.50 as reimbursement of one-half of the filing fee.

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

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Award 99-05076

AFFIRMATION

I, Jeffrey S. Salisbury, 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.


Jeffrey S. Salisbury

February 14, 2001
Date of award