

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

CASE: 99-05221

Donald P. Watanabe, claimant vs. Bear Stearns Securities Corp., respondent.

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**ATTORNEYS:**

For Claimant appeared John D. Cummins, Jr. Esq., of the firm Robinson, Curley & Clayton, P.C., Chicago, IL.

For Respondent appeared Darya Geetter, Esq., in-house counsel for Bear Stearns Securities Corp., New York, NY.

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**DATE FILED:** November 19, 1999

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**CASE SUMMARY:** Claimant alleged that respondent failed to liquidate the positions in his account in a timely manner. This request was made on November 24, 1998, however, the positions were not liquidated until November 30, 1998.

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**Claim Data**

Claim: \$6,843.52  
Atty Fees: unspecified  
Filing Fees: \$.00  
Interest: unspecified  
Other: unspecified

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**Award Data**

Award: \$5,200.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Interest: @9% from  
11/24/98 to date of award  
Other: \$.00

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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 claimant \$5,200.00. 2) All requests for attorney fees 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.

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


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**OTHER ISSUES:** The arbitrator has denied Respondent's Motion to Dismiss.

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Award 99-05221

**AFFIRMATION**

I, Carol Sanders, 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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Carol Sanders

November 3, 2000  
Date *of award*