

New York Stock Exchange In the Matter of Arbitration Between

NYSE

Case: Gopal Narasimhan v Wall Street Access, Inc.

Attorneys:

For Claimant(s):

James A. Batson Esq. - New York, NY

For Respondent(s):

Denis Kelleher Esq. - New York, NY

Date Filed: 01/03/2001

First Scheduled: 09/12/2001

Decided: 06/17/2002

Case Summary: Claimant, a customer, has alleged that respondent provided an incorrect symbol for qualcomm options to claimant and then sold options which claimant never owned. Claimant also alleges a failure to supervise and violations of Federal Laws.

Product: OPT

Market:

Claim Data

Claim: \$272,000.00

Punitive: \$0.00

Atty Fees: Uns

Deposit: \$750.00

Award Data

Award: \$40,500.00

Punitive: \$0.00

Atty Fees: \$0.00

Costs: \$0.00

Forum Fees: \$13,500.00

Decision: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that: Respondent is to pay to claimant the sum of \$41,250 representing \$40,500 as an award on the claim and \$750 as a return of the hearing deposit. In addition, interest at the legal rate is assessed on the amount of \$40,500 until date paid. The forum fees in the amount of \$13,500 are assessed against the respondent.

Remarks:

The undersigned arbitrators hereby affirm that they have executed this instrument which is their award:

Arbitrators: (D = Dissents)

Marguerite B. Filson **D**

George R. Freund

Roger M. Gerber

Signatures:

City: New York

State: NY

Date: 05/03/2002

Docket #: 2001-008880

Sessions: 18

Hearing Dates:

	03/13/2002 (2)	05/03/2002 (1)
02/20/2002 (2)	03/14/2002 (2)	
02/21/2002 (2)	03/15/2002 (2)	
02/22/2002 (2)	04/29/2002 (2)	
03/12/2002 (2)	05/01/2002 (1)	