

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03291

Derek Ralph, Claimant vs. Scottrade, Inc., Respondent.

ATTORNEYS:

For Claimant, Derek Ralph ("Claimant"), appeared John W. Ewart, II, Esq., Pittsburgh, PA.

Respondent, Scottrade, Inc. (Respondent"), appeared through its Director of Human Resources, Jane Wulf, St. Louis, MO.

DATE FILED: August 2, 2000

CASE SUMMARY: Claimant alleged that Respondent breach their contractual agreement and failed to pay him commissions and bonuses owed.

Claim Data

Claim: \$11,150.76
Punitive: \$10,000.00
Atty Fees: Unspecified
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$9006.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$425.00
Other: \$.00

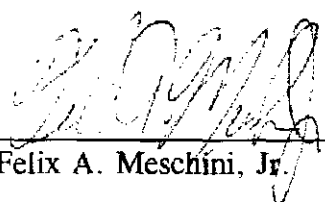
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$9006.00. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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

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Award 00-03291

AFFIRMATION

I, Felix A. Meschini, Jr., 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.


Felix A. Meschini, Jr.

February 14, 2001
Date of award