

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01740

Franklin S. Richardson and Lucille Richardson, claimants vs. Scottrade Financial Services, respondent.

ATTORNEYS:

Claimants appeared Pro Se, Louisville, KY.

For Respondent appeared Mark Finnegan, compliance manager, St. Louis, MO.

DATE FILED: April 9, 2001

CASE SUMMARY: Claimants alleged that respondents failed to apply for the partial refund of the Foreign Tax that was withheld from claimant's cash dividend. By failing to apply for the partial - refund claimants further alleges that respondent is breaching their fiduciary duty and causing a monetary loss to the claimant.

Claim Data

Claim: \$1,078.95
Interest: unspecified

Filing Fees: \$.00

Award Data

Award: \$1,078.95
Interest: at 5% per annum on \$1,078.95 from August 1, 1999 until payment of the award.
Filing Fees: \$75.00

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 claimants \$1,078.95. 2) Respondent is liable and shall pay to the claimants interest at a rate of 5% per annum on \$1,078.95 from August 1, 1999 until payment of the award. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimants, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimants \$75.00 as reimbursement of the filing fee.

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

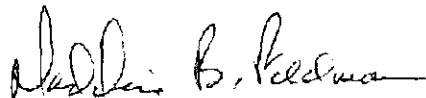
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Madeleine B. Feldman

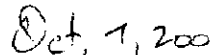
Sole Public Arbitrator

AFFIRMATION

I, Madeleine B. Feldman, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Madeleine B. Feldman



Signature Date

October 17, 2001

Date of Service (For NASD-DR office use only)