

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04747

John D. Steichen, claimant vs. E*Trade Securities, Inc., respondent.

ATTORNEYS:

Claimant appeared pro se, Spring Park, MN.

For Respondent appeared in-house counsel, John Bersin, Esq., Rancho Cordova, CA.

DATE FILED: August 12, 2002

CASE SUMMARY: Claimant alleged that respondent breached its fiduciary duty by failing to execute an order he placed. Claimant maintained that due to respondent's actions, the account suffered losses.

Claim Data

Claim: \$1,500.00
Filing Fees: \$75.00
Other Cost: \$100.00
Other: 10,000 shares @ \$.06 into account

Award Data

Award: \$.00
Filing Fees: \$.00
Other Cost: \$.00
Other: denied

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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

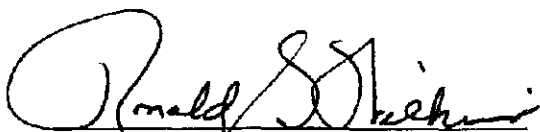
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Award 02-04747

Ronald G. Wilkins

Sole Public Arbitrator

AFFIRMATION

I, Ronald G. Wilkins, 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.


Ronald G. Wilkins

12/2/2002
Signature Date

December 11, 2002
Date of Service (For NASD-DR office use only)