

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04904

E*Trade Securities, Inc., claimant vs. Christopher M. Spencer, respondent.

ATTORNEYS:

For Claimant appeared Stephanie M. Levy, Esq., of the firm Henrichs Law Firm, P.C., Los Angeles, CA.

Respondent did not respond to the Statement of Claim.

DATE FILED: August 8, 2002

CASE SUMMARY: Claimant alleged that respondent failed to repay monies owed because of a debit balance in his account. Claimant maintained that because of respondent's actions, the firm suffered a loss.

ARBITRATOR'S REPORT: This matter is not ripe for decision because the record does not reflect that the Respondent, Christopher Spencer, has been properly served with the Statement of Claim. The matter is dismissed without prejudice to Claimant's right to further pursue this claim.

Claim Data

Claim: \$13,908.47
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined the issues submitted for determination as follows: 1) The claims of claimant are remanded back to NASD Dispute Resolution for further processing, without prejudice, in their entirety. 2) All requests for attorney fees are denied at this time. 3) All requests for interest are denied at this time. 4) All other relief requests are denied at this time. 5) The \$1,050.00 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, claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 02-04904

Carl J. Carlson

Sole Public Arbitrator

AFFIRMATION

I, Carl J. Carlson, 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.

Carl J. Carlson
Carl J. Carlson

5-23-03
Signature Date

May 27, 2003

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