

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-07302

Jack and Joyce A. Mavis, claimant vs. Brian Leggett and E\*Trade Securities, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared pro se, Tiburon, CA.

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

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**DATE FILED:** December 3, 2002

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**CASE SUMMARY:** Claimants alleged that respondents rescinded bonuses that were promised to them in their accounts. Claimants maintained that because the bonuses were promised to them, they should be replaced or be paid for the value of the bonuses.

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**Claim Data**

Claim: \$2,200.00  
Filing Fees: \$75.00  
Other: Unspecified

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**Award Data**

Award: \$.00  
Filing Fees: \$75.00  
Other: \$.00

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**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. 4) Respondent, E\*Trade Securities, Inc., is liable and shall pay claimant \$75.00 as reimbursement of the filing fee. 5) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Brian Leggett's registration records maintained by NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09 and 99-54, Respondent Brian Leggett must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

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

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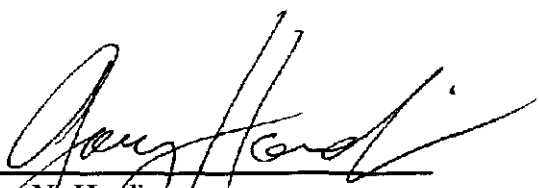
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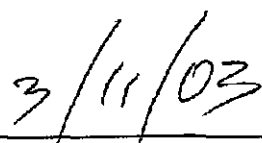
Gary N. Hardiman

Sole Public Arbitrator

**AFFIRMATION**

I, Gary N. Hardiman, 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.

  
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Gary N. Hardiman

  
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Signature Date

March 18, 2003  
Date of Service (For NASD-DR office use only)