

**Stipulated Award
NASD Dispute Resolution**

In the Matter of the Arbitration Between:

Name of the Claimant

Rina Mehra and
Raksha Mehra

Case Number: 03-00847

and

Name of the Respondents

Donaldson, Lufkin & Jenrette Securities Corporation
Credit Suisse First Boston Corporation, and
Michael Dockendorf

Hearing Site: Chicago, Illinois

REPRESENTATION OF PARTIES

Claimants Rina Mehra and Rakesha Mehra, ("Claimants"), were represented by Michael Lorge of Laser, Pokorny, Schwartz, Friedman & Ecomomos, P.C., located in Chicago, Illinois.

Respondents Donaldson, Lufkin & Jenrette Securities Corporation, Credit Suisse First Boston Corporation, Michael Dockendorf, ("Respondents") were represented by Rodney Acker, Esq. of Jenkins & Gilchrist, P.C., located in Dallas, Texas.

CASE INFORMATION

Claimants Statement of Claim was filed on or about February 3, 2003.
Joint Statement of Answer was filed by Respondents on April 14, 2003.

CASE SUMMARY

Claimants asserted the following causes of action: (i) violation of section 78(j) of the Securities Exchange Act of 1934, (ii) violation of section 12(f) and 12(g) of the Illinois Security Law of 1953, (ii) violation of section 2 of the Illinois Consumer Fraud and Deceptive Business Practices Act, (iv) breach of fiduciary duty, (v) fraud, (vi) negligence, (vii) unauthorized trading, (viii) churning, and (ix) unsuitability.

Claimants' claims relate to stock transactions in their DLJ accounts.

Respondents denied all of the claims in the Statement of Claim thereto.

Respondent Michael Dockendorf was dismissed from this case on July 19, 2004.

RELIEF REQUESTED

Claimants requested actual damages in the amount of \$ 250,000.00 in addition to actual damages and 1,000,000.00 in punitive damages. Claimants prayed for attorneys' fees, lost interest, and dividends.

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the event giving rise to the dispute. Accordingly, Donaldson Lufkin & Jenrette Securities and Credit Suisse First Boston Corporation are the Respondent firms and are each liable for:

Member surcharge	= \$ 2,800.00
Pre-hearing process fee	= \$ 750.00
Hearing process fee	= \$ 5,000.00

AWARD

The parties entered into an agreement to present to the Panel a Stipulated Award. Now, in lieu of a hearing and upon joint motion of Claimants and Respondent for entry of an award and the written stipulation thereto, the Panel hereby grants the motion and enters this award granting the following relief:

- 1) Respondents Donaldson, Lufkin & Jenrette Securities Corporation and Credit Suisse First Boston Corporation are dismissed with prejudice. Claimants and Respondents Credit Suisse First Boston Corporation and Donaldson, Lufkin & Jenrette Securities Corporation have entered into a confidential agreement.
- 2) The Panel finds that claimants have dismissed Michael Dockendorf from this action. The Panel, therefore, recommends the expungement of all references to the above-captioned arbitration from Michael Dockendorf's registration records maintained by the NASD, the NYSE and the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NYSE and NASD rules, Michael Dockendorf must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.
- 3) Each party shall bear its own costs and expenses associated with the above-referenced arbitration.
- 4) Any and all relief not specifically addressed herein is denied.

Forum Fees and Assessments

The Panel has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrators, including a pre-hearing conference with the arbitrators, that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with a the Panel x \$1,200.00	= \$1,200.00
Pre-hearing conference: October 16, 2003 1 session	
One (1) Pre-hearing session with a single arbitrator x \$ 450.00	
June 30, 2004 1 session	= \$ 450.00
Total Forum Fees	= \$1,650.00

The Panel has assessed \$450.00 of the forum fees to Claimants Rina Mehra and Raksha Mehra jointly and severally.

The Panel has assessed \$300.00 of the forum fees to Respondent Michael Dockendorf.

The Panel has assessed \$450.00 of the forum fees to Donaldson, Lufkin & Jenrette Securities Corporation.

The Panel has assessed \$450.00 of the forum fees to Claimants Credit Suisse First Boston Corporation.

Fee Summary

Claimant Rina Mehra and Raksha Mehra are jointly and severally liable for:

Initial Filing Fee	= \$ 500.00
Forum Fees	= \$ 450.00
Total Fees	= \$ 950.00
Less payments	= \$ 1,700.00
Balance refunded by to NASD Dispute Resolution	= \$ 750.00

Respondent Donaldson, Lufkin & Jenrette Securities Corporation.
is solely liable for:

Member Fees	= \$ 8,550.00
Forum Fees	= \$ 450.00
Total Fees	= \$ 9,000.00
Less payments	= \$ 2,800.00
Balance Due NASD Dispute Resolution	= \$ 6,200.00

Respondent Credit Suisse First Boston Corporation is solely liable for:

Member Fees	= \$ 8,550.00
Forum Fees	= \$ 450.00
Total Fees	= \$ 9,000.00

<u>Less payments</u>	= \$14,900.00
Balance Refunded by NASD Dispute Resolution	= \$ 5,900.00

Respondent Michael Dockendorf is solely liable for:

Forum Fees	= \$ 300.00
<u>Less payments</u>	= \$.00
Balance Due NASD Dispute Resolution	= \$ 300.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Robert S. Schwartz, Esq.-Public Arbitrator, Presiding Chair
Jonathan B. Gilbert - Public Arbitrator
James Hofheimer-Non-Public Arbitrator

Concurring Arbitrators:

Robert S. Schwartz, Esq.
Public Arbitrator, Presiding Chair

Signature Date

Jonathan B. Gilbert
Public Arbitrator

Signature Date

James Hofheimer
Non-Public Arbitrator

Signature Date

Date of Service by NASD Dispute Resolution January 10, 2005

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Arbitration No. 03-00847
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<u>Less payments</u>	<u>= \$14,900.00</u>
Balance Refunded by NASD Dispute Resolution	= \$ 5,900.00

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Jonathan B. Gilbert - Public Arbitrator
James Hofheimer - Non-Public Arbitrator

Consenting Arbitrators:



Robert S. Schwartz, Esq.
Public Arbitrator, Presiding Chair

01/03/05
Signature Date

Jonathan B. Gilbert
Public Arbitrator

Signature Date

James Hofheimer
Non-Public Arbitrator

Signature Date

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