

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

CASE: 03-01560

Derrick Henderson, Claimant vs. Associated Securities Corporation, Respondent.

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**ATTORNEYS:**

For Claimant appeared Emerson R. Marks, Jr. Esq., of the Law Office of Emerson R. Marks, Jr., Charlottesville, VA.

For Respondent appeared Scott J. Ivy, Esq., of the Law Offices of Musick, Peeler, & Garrett LLP, Los Angeles, CA.

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DATE FILED: March 4, 2003

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**CASE SUMMARY:** Claimant alleged that Respondent recommended and executed unfavorable and unauthorized purchases in his account. Claimant further alleged that Respondent misrepresented facts regarding these trades. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claims involved Palm Inc. stock.

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**Claim Data**

Claim: \$10,000.00  
Interest: Unspecified  
Filing Fees: \$.00  
Other: Unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$.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 requests for interest are denied. 3) All other relief requests are denied. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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Keith Folkman

Sole Public Arbitrator

**AFFIRMATION**

I, Keith Folkman, 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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Keith Folkman

  
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Signature Date

August 26, 2003  
Date of Service (For NASD-DR office use only)