

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-05744

Tom C. Schock Roth IRA, Claimant v. U.S. Bancorp Piper Jaffray, Inc., Respondent.

ATTORNEYS:

Claimant, Tom C. Schock Roth IRA, ("Claimant"), appeared pro se, Mahtomedi, MN.

Respondent, U.S. Bancorp Piper Jaffray, Inc., ("Respondent"), appeared through their in-house counsel, Mark S. Reed, Esq., Minneapolis, MN.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: August 6, 2003

CASE SUMMARY: Claimant alleged that Respondent failed to execute a limit order for Dynegy, Inc. stock as he instructed. Claimant's claim involved common stock and options. Claimant maintained that due to Respondent's action, his account suffered financial losses.

Claim Data

Claim: \$5,000.00
Filing Fees: \$.00
Other: Unspecified

Award Data

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

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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.


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Award 03-05744

John C. DeMoss, Esq.

Sole Public Arbitrator

AFFIRMATION

I, John C. DeMoss, Esq., 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.



John C. DeMoss, Esq.

2-11-04
Signature Date

February 20, 2004
Date of Service (For NASD-DR office use only)