

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION
CASE: 04-00366

Leigh Peterson, Claimant v. Chris Eriksson, Respondent.

ATTORNEYS:

Claimant, Leigh Peterson, ("Claimant"), appeared pro se, Birmingham, MI.

For Respondent, Chris Eriksson, ("Respondent"), appeared John J. Kilkenny, of the firm Ungaretti and Harris, LLP, Chicago, IL.

NATURE OF DISPUTE: Customer v. Associated Person

DATE FILED: January 20, 2004

CASE SUMMARY: Claimant alleged that Respondent breached its fiduciary duty, misrepresented and omitted material facts in connection with her investments, traded unsuitable stock in her account without authorization, and manipulated her account. Claimant's claim involved common stock. Claimant maintained that due to Respondent's actions, her command account suffered financial losses.

Claim Data

Claim: \$16,207.00
Interest: \$2,192.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$15,534.02
Interest: \$.00
Filing Fees: \$212.50
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$15,534.02. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay to the Claimant \$212.50 as reimbursement of one-half of the filing fee.

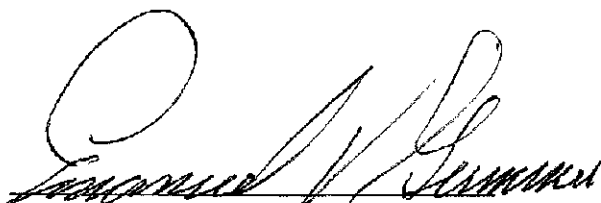
OTHER FEES: Pursuant to Rule 10333 of the Code, Prudential Equity Group, LLC, the member firm associated with the Respondent at the time of the dispute, has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

ARBITRATOR

Emanuel V. Gumina, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Emanuel V. Gumina, 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.


Emanuel V. Gumina, Esq.

6/22/04
Signature Date

July 2, 2004
Date of Service (For NASD-DR office use only)