

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-00506

James A. Gulledge, Claimant v. Morgan Keegan & Company, Inc., Respondent

ATTORNEYS:

Claimant, James A. Gulledge, ("Claimant"), appeared *pro se*, Shreveport, LA.

Respondent, Morgan Keegan & Company, Inc., ("Respondent"), appeared through in-house counsel, Shea O'Brien Hicks, Esq., Memphis, TN.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: January 26, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to adequately supervise his account and, therefore he was forced to make hasty margin calls that were detrimental to his account. Claimant maintains that due to Respondent's actions, his account suffered financial losses.

Claim Data

Claim: \$24,475.00

Filing Fees: Unspecified

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 Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution initially waived the \$125.00 filing fee and the \$300.00 hearing session deposit. 4) NASD Dispute Resolution shall retain the \$212.50 that the Claimant deposited previously. 5) Respondent is liable and shall pay NASD Dispute Resolution forum fees in the amount of \$212.50.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 04-00506

ARBITRATOR

Charles H. Peterson - Sole Public Arbitrator

AFFIRMATION

I, Charles H. Peterson, 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.



Charles H. Peterson



Signature Date

March 4, 2005

Date of Service (For NASD-DR office use only)