

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-00693

Dinesh V. Sheth, Claimant vs. L.H. Ross & Company, Inc. and Dean Russell Baker,
Respondents

ATTORNEYS:

Claimant appeared *pro se*, Madison, AL.

For Respondents L. H. Ross & Company, Inc. and Dean Russell Baker ("Respondents")
appeared Alan P. Fraade, Esq., of the firm Mintz & Fraade, P.C., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person.

DATE FILED: February 3, 2004.

CASE SUMMARY: Claimant alleged that Respondents executed trades in his account without his consent or authorization. Claimant maintained that due to Respondents' actions, his account suffered losses. Claimant's claim involved shares of SIRI, GLW, and IBM Option Calls.

Claim Data

Claim: \$11,100.00
Interest: Unspecified
Injunction: Cease and desist
Filing Fees: Unspecified
Costs: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Injunction: Denied
Filing Fees: \$.00
Costs: \$.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 requests for interest are denied. 3) The request for an injunction is denied. 4) Respondents' request for attorneys' fees is denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent L.H. Ross & Company, inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

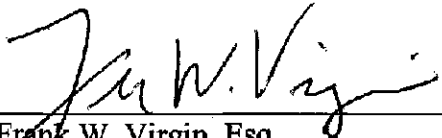
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Award 04-00693

Frank W. Virgin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Frank W. Virgin, 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.



Frank W. Virgin, Esq.

9/2/04

Signature Date

September 13, 2004

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