

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION
CASE: 04-01995

William J. Holland IRA, Claimant v. E*Trade Securities, LLC and Richard Dean Edde, II, Respondents.

ATTORNEYS:

Claimant, William J. Holland IRA, ("Claimant"), appeared pro se, Dallas, TX.

Respondents, E*Trade Securities, LLC and Richard Dean Edde II, ("Respondents"), appeared through their in-house counsel, John Bersin, Rancho Cordova, CA.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: March 24, 2004

CASE SUMMARY: Claimant alleged that Respondents executed an online order to buy \$50,000.00 of Scudder Japanese Equity stock, for which he received an error message informing him that the trade had not been processed. Claimant maintained that due to Respondents' actions, his IRA suffered financial losses.

Claim Data

Claim: \$6,890.81
Punitive: \$2,000.00
Interest: \$500.00
Filing Fees: \$325.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.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 requests for punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The arbitrator recommends the expungement of all reference to NASD-DR Arbitration Case No. 04-01995 entitled William J. Holland IRA v. E*Trade Securities LLC and Richard Dean Edde, II, from Respondent Richard Dean Edde II's registration record maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Richard Dean Edde II must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 6) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

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


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Award 04-01995

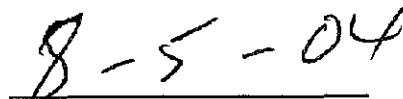
ARBITRATOR

Hawk Mesa Storm, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Hawk Mesa Storm, 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.


Hawk Mesa Storm, Esq.


Signature Date

August 18, 2004
Date of Service (For NASD-DR office use only)