

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-02133

Mark Alexander, Claimant v. Knight Equity Markets, L.P., Respondent

ATTORNEYS:

Claimant Mark Alexander ("Claimant") appeared *pro se*, Mayfield Heights, OH.

For Respondent Knight Equity Markets, L.P. ("Respondent") appeared Kenneth W. Gerver, Esq., Knight Equity Markets, L.P., Jersey City, NJ.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: March 29, 2004.

CASE SUMMARY: Claimant alleged that Respondent traded in front of his order to sell 4000 shares of QQQ and failed to honor SEC regulations and Rules of Fair Practice. Claimant further alleged that Respondent did not fill his order at a reasonable price. Claimant maintained that due to Respondent's actions, the account suffered losses. Claimant's claim involved common stock.

Claim Data

Claim: \$320.00
Punitive: \$500.00
Interest: \$80.00
Filing Fees: \$50.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$.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 punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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Award 04-02133

Benjamin B. Segel, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Benjamin B. Segel, 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.



Benjamin B. Segel, Esq.

10/11/04

Signature Date

October 25, 2004

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