

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-04923

Mary A. Shevlin, Claimant v. J.P. Morgan Invest, LLC and Brown Co., Respondents

ATTORNEYS:

Claimant Mary Shevlin ("Claimant") appeared *pro se*, Medford, NY.

For Respondents J.P. Morgan Invest, LLC and Brown Co appeared Bruce D. Levin, Esq., of the firm Bernkopf Goodman, LLP, Boston, MA.

J.P. Morgan Invest, LLC and Brown Co. are hereinafter collectively referred to as "Respondents".

NATURE OF DISPUTE: Customer vs. Member and Non-Member.

DATE FILED: July 12, 2004.

CASE SUMMARY: Claimant alleged that Respondents executed an unauthorized short sale based on sell stops placed on 10000 shares of CHTR purchased on 5/6/04 and sold on 5/7/04. Claimant maintained that due to Respondents' actions, the account suffered losses. Claimant's claim involved shares of common stock CHTR.

ARBITRATOR'S REPORT: The arbitrator stated, "After reviewing both the Statement of Claim and Statement of Answer, it is my determination that Claimant has no grounds for her losses and should pay forum fees. Brown Co. and J.P. Morgan Invest, LLC are responsible for their own attorney fees."

Claim Data

Claim: \$2,071.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$0.00
Filing Fees: \$0.00
Other: \$0.00

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 shall retain the \$75.00 filing fee that the Claimant deposited previously.

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

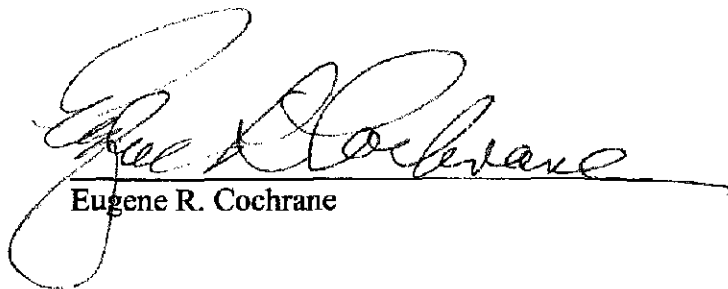
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Eugene R. Cochrane

Sole Public Arbitrator

AFFIRMATION

I, Eugene R. Cochrane, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Eugene R. Cochrane


Signature Date

March 17, 2005
Date of Service (For NASD-DR office use only)