

**NASD DISPUTE RESOLUTION AWARD**  
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**MODIFIED AWARD**

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CASE: 04-05777

William D. Jordan, Claimant v. Scottrade, Inc., Respondent

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**ATTORNEYS:**

Claimant William D. Jordan ("Claimant") appeared *pro se*, San Carlos, CA.

For Respondent Scottrade, Inc., ("Respondent") appeared Andrew C. Small, Esq., in-house counsel, Scottrade, Inc., St. Louis, MO.

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**NATURE OF DISPUTE:** Customer vs. Member.

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**DATE FILED:** August 11, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondent failed to properly execute a stop loss order. Claimant further alleged that he had a stop loss order in place at 32.75, good until cancelled but the stop was not executed until 32.18. Claimant maintained that due to Respondent's actions, his account suffered losses. Claimant's claim involved shares of GE stock.

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**Claim Data**

Claim: \$855.00  
Cost: \$52.50  
Filing Fee: \$0.00  
Other: Unspecified

**Award Data**

Award: \$0.00  
Cost: \$52.50  
Filing Fee: \$50.00  
Other: \$0.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to Claimant Cost in the amount of \$52.50. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay claimant \$50.00 as reimbursement of the filing fee.

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**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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Robert E. Thompson, Esq.

- Sole Public Arbitrator

AFFIRMATION

I, Robert E. Thompson, 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.



Robert E. Thompson, Esq.

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Signature Date

February 18, 2005

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