

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-06004

Evelyn A. Jensen, Claimant v. Scottrade, Inc., Respondent

ATTORNEYS:

Claimant Evelyn A. Jensen ("Claimant") appeared *pro se*, Dickinson, ND.

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

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: August 20, 2004.

CASE SUMMARY: Claimant alleged that Respondent misrepresented bonds when sold or committed fraud when the bonds were marketed. Claimant maintained that due to Respondent's actions, her account suffered losses. Claimant's claim involved the New York St Dorm Auth Revs bond and the New York State, New York bond.

Claim Data

Claim: \$1,380.00
Punitive: \$500.00
Filing Fees: \$75.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$37.50

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 other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$37.50 as reimbursement of one-half of the filing fee.

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

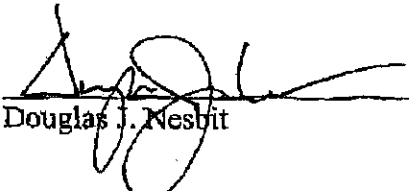
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Award 04-06004

Douglas J. Nesbit

Sole Public Arbitrator

AFFIRMATION

I, Douglas J. Nesbit, 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.



Douglas J. Nesbit

1/18/05

Signature Date

January 20, 2005

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