

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01606

Jon Supler, (Claimant) vs. Harrisdirect LLC, (Respondent)

ATTORNEYS:

Claimant appeared pro se, Raleigh, NC.

For Respondent appeared in-house counsel, William B. Baran, Chicago, IL.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: March 5, 2005

CASE SUMMARY: Claimant alleged that Respondent cancelled an execution of a trade. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved various options.

Claim Data

Claim: \$15,000.00
Punitive: \$500.00
Filing Fees: \$500.00

Award Data

Award: \$.00
Punitive: \$.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 the 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 \$425.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 05-01606

Leon Henderson, Jr., Esq.

Sole Public Arbitrator

AFFIRMATION

I, Leon Henderson, Jr., 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.

Leon Henderson Jr.
Leon Henderson, Jr., Esq.

8/25/05
(Signature Date)

August 25, 2005
Date of Service (For NASD-DR office use only)