

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-03184

George Everett Branton, (Claimant/Counterclaim Respondent) vs. Scottrade, Inc.,
(Respondent/Counterclaim Claimant)

ATTORNEYS:

Claimant/Counterclaim Respondent appeared *pro se*, Bloomington, MN.

For Respondent/Counterclaim Claimant appeared in-house counsel Andrew Small, Esq.,
St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: June 17, 2005

CASE SUMMARY: Claimant/Counterclaim Respondent alleged that Respondent/Counterclaim Claimant failed to execute an order timely, resulting in financial loss. Claimant/Counterclaim Respondent maintained that due to Respondent/Counterclaim Claimant's actions, he suffered financial losses. Claimant/Counterclaim Respondent's claim involved various options.

COUNTERCLAIM SUMMARY: Respondent/Counterclaim Claimant alleged that Claimant/Counterclaim Respondent failed to repay a debit balance in his account. Respondent/Counterclaim Claimant maintained that due to Claimant/Counterclaim Respondent's actions, the firm suffered financial losses.

Claim Data

Claim: \$6,255.00
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$162.50
Other: \$.00

Counterclaim Data

Claim: \$3,359.00
Interest: Unspecified
Filing Fees: Unspecified

Counterclaim Award Data

Award: \$3,359.00
Interest: \$.00
Filing Fees: \$262.50

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/Counterclaim Respondent are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$325.00 filing fee that

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the Claimant/Counterclaim Respondent deposited previously. 6) Respondent/Counterclaim Claimant is liable and shall pay Claimant/Counterclaim Respondent \$162.50 as reimbursement of one half of the filing fee.

COUNTERCLAIM AWARD DATA: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant/Counterclaim Respondent is liable and shall pay to the Respondent/Counterclaim Claimant \$3,359.00. 2) All requests for interest are denied. 3) NASD Dispute Resolution shall invoice for the \$525.00 filing fee that the Respondent/Counterclaim Claimant has not yet paid. 4) Claimant/Counterclaim Respondent is liable and shall pay Respondent/Counterclaim Claimant \$262.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent/Counterclaim Claimant has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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Douglas G. Plank

Sole Public Arbitrator

AFFIRMATION

I, Douglas G. Plank, 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 G. Plank
Douglas G. Plank

2/14/06
(Signature Date)

2/16/06
Date of Service (For NASD-DR office use only)