

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05603

John Keenan, (Claimant) vs. Chase Investment Services Corp., (Respondent)

ATTORNEYS:

For Claimant appeared Steven E. Cole, Esq., of the firm Wolford & LeClair, LLP,
Rochester, NY.

For Respondent appeared in-house counsel Sandra Ahn, Esq., New York, NY.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: November 1, 2005

CASE SUMMARY: Claimant alleged that Respondent failed to place a stop-loss order with respect to investments made during December 2004. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved common stock, including TASR.

Claim Data

Claim: \$11,627.00

Interest: Unspecified

Attorney Fees: Unspecified

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$11,627.00

Interest: granted at the rate of
9% per annum from 1/14/05-
date of payment of award.

Attorney Fees: \$.00

Filing Fees: \$425.00

Other: \$.00

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 the Claimant \$11,627.00. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay to the Claimant interest at the rate of 9% per annum from January 14, 2005 until the date of payment of the award. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

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

Page Two
Award 05-05603

Richard D. Rosenbloom, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard D. Rosenbloom, 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.

Richard D. Rosenbloom
Richard D. Rosenbloom, Esq.

3-31-06
(Signature Date)

April 3, 2006
Date of Service (For NASD-DR office use only)