

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05654

Tye T. Morgan, (Claimant) vs. Scottrade, Inc., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Elk, WA.

For Respondent appeared in-house counsel Andrew Small, St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: November 4, 2005

CASE SUMMARY: Claimant alleged that Respondent failed to properly execute trades, breach of contract, and failure to honor obligations. Claimant maintained the due to Respondent's actions he suffered financial losses. Claimant's claim involved common stock.

Claim Data

Claim: \$3,000.00
Punitive: \$1,525.00
Interest: \$300.00
Filing Fees: \$175.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$.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) The claims of the Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Award 05-05654

Lisa E. Schuchman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Lisa E. Schuchman, 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.



Lisa E. Schuchman, Esq.



(Signature Date)

May 2, 2006

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