

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02319

Harold Freeman Graves, Jr., (Claimant) vs. E*Trade Securities LLC, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Newport, RI.

For Respondent appeared in-house counsel John Bersin, Esq., Rancho Cordova, CA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: May 5, 2006

CASE SUMMARY: Claimant alleged that Respondent failed to execute a trade instruction. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved common stock.

Claim Data

Claim: \$600.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$25.00

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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$25.00 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.

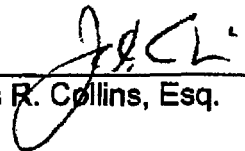
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Award 06-02319

James R. Collins, Esq.

Sole Public Arbitrator

AFFIRMATION

I, James R. Collins, 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.



James R. Collins, Esq.

10/6/06

(Signature Date)

October 10, 2006

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