

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02648

Yu-Jih Liu, (Claimant) vs. E*Trade Securities LLC, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Ledgewood, NJ.

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

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: May 27, 2006

CASE SUMMARY: Claimant alleged that Respondent negligently handled her account by failing to notify her of warrant expiration. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant claim involved warrants.

Claim Data

Claim: \$18,000.00
Punitive: \$5,000.00
Interest: Unspecified
Filing Fees: \$425.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$212.50

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 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 \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$212.50 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 \$425.00 Member Surcharge previously invoiced.

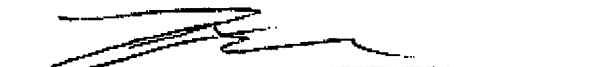
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Award 06-02648

Louis H. Miron, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Louis H. Miron, 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.



Louis H. Miron, Esq.

10-3-06
(Signature Date)

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