

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03188

Michael R. Evans, (Claimant) vs. BrownCo, LLC and E*Trade Securities LLC,
(Respondents)

ATTORNEYS:

Claimant appeared *pro se*, Allentown, PA.

For Respondent Brownco, LLC appeared in-house counsel Laura Crawford,
Boston, MA.

For Respondent E*Trade Securities LLC appeared in-house counsel John
Bersin, Esq., Rancho Cordova, CA.

NATURE OF DISPUTE: Customer v. Members

DATE FILED: June 24, 2006

CASE SUMMARY: Claimant alleged that Respondents failed to execute an order and made an unauthorized transfer of his account from cash to margin. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved common stock.

Claim Data

Claim: \$1,165.00
Punitive: Unspecified

Award Data

Award: \$.00
Punitive: \$.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 punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Brownco, LLC has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent E*Trade Securities LLC has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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Paul John Wiegartner, CPA

Sole Public Arbitrator

AFFIRMATION

I, Paul John Wiegartner, CPA, 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.

Paul John Wiegartner, CPA
Paul John Wiegartner, CPA

January 10th, 2007
(Signature Date)

January 22, 2007
Date of Service (For NASD-DR office use only)