

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03667

Mary E. McGrath, (Claimant) vs. E*Trade Securities LLC, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Burlingame, CA.

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

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: August 7, 2006

CASE SUMMARY: Claimant alleged that Respondent negligently handled her account by placing her in investments that were unsuitable for her needs and misrepresenting facts regarding these investments. Claimant further alleged breach of contract, failure to execute, failure to supervise and failure to exercise stock options. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved options.

Claim Data

Claim: \$12,000.00
Punitive: \$6,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Punitive: \$.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 punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 5) 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.

Page Two
Award 06-03667

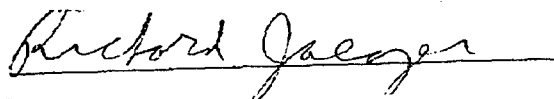
Richard L. Jaeger

-

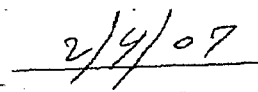
Sole Public Arbitrator

AFFIRMATION

I, Richard L. Jaeger, 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 L. Jaeger



(Signature Date)

February 6, 2007

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