

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-03369

Martin J. Halm, claimant vs. Scottsdale Securities, Inc., respondent.

ATTORNEYS:

For claimant, Martin J. Halm, ("Claimant"), appeared Ian Brenson, Esq., La Grange, IL.

For respondent, Scottsdale Securities, Inc., ("Respondent"), appeared Mark Finnegan, Compliance Manager, St. Louis, MO.

DATE FILED: July 23, 1999

CASE SUMMARY: Claimant alleged that he place an order with Respondent to purchase shares of Perot Systems ("PER") at \$67.00 per share. Claimant further alleged that he then place a sell order for the same shares at a stop of \$57.00. Claimant maintained that his sell order was never executed and he suffered financial losses when he sold his shares at \$41.00 per share.

Claim Data

Claim: \$2,455.50
Atty Fees: Unspecified
Interest: Unspecified
Costs: Unspecified

Award Data

Award: \$.00
Atty Fees: \$.00
Interest: \$.00
Costs: \$.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 Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All requests for costs are denied. 5) All other relief requests are denied. 6) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

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

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Award 99-03369

AFFIRMATION

I, Shirley L. Bergard, 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.

Shirley L. Bergard
Shirley L. Bergard

September 7, 2000
Date of award