

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04844

Sandra Eckart, claimant vs. Thomas Johnson and Robert W. Baird & Co., Inc, respondents.

ATTORNEYS:

For Claimant appeared Mark E. Sanders, Esq. of the firm Halling & Cayo, Milwaukee, WI.

For Respondents appeared in-house counsel Brian D. Trexell, Esq., Milwaukee, WI.

DATE FILED: October 27, 1999

CASE SUMMARY: Claimant alleged that respondents made unauthorized transactions consisting of the sale of all of her shares in El Paso Natural Gas, Wainman and Southwest Water Co. Claimant further alleges that without her authorization, respondents purchased 200 shares of Ogden Corp, 1500 shares of First Australia Prime Income Fund and purchased Alliant Interstate Energy Corp.

Claim Data

Claim: \$25,000.00
Atty Fees: unspecified
Filing Fees: unspecified
Interest: unspecified

Award Data

Award: \$.00
Atty Fees: \$.00
Filing Fees: \$425.00
Interest: \$.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 other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents are jointly and severally liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Robert W. Baird & Company has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

Page Two
Award 99-04844

AFFIRMATION

I, Michael Laiken, 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.



Michael Laiken

October 30, 2000
Date of award