

**FINRA Dispute Resolution**  
**Southeast Processing Center**  
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**5200 Town Center Circle**  
**Boca Raton, FL 33486**  
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Number of Pages including the Cover Sheet: \_\_\_\_\_

Date: 03/21/2012

Case Number: 11-03725

Case Name: Laurent J. La Brie vs. TD Ameritrade and Scott Allan Cornett

To: Andrew Jiranek

Phone: 443-470-1341 Fax: 410-825-2583

From: Lisa Lasher / *zp*  
Senior Case Administrator

Message:

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VIA FACSIMILE

March 21, 2012

Andrew Jiranek, Esq  
16 Willow Avenue  
Baltimore, MD 21286

Subject: FINRA Dispute Resolution Arbitration Number 11-03725  
Laurent J. La Brie vs. TD Ameritrade and Scott Allan Cornett

Dear Mr. Jiranek:

Enclosed please find an Order issued by the Sole Arbitrator dated March 12, 2012.

Very truly yours,

Lisa D. Lasher/zp

Lisa D. Lasher  
Senior Case Administrator  
Phone: 561-416-0277  
Fax: 301-527-4868  
FL-Main@finra.org

LYL:zq:LC53A  
idr: 07/22/2008 - Enclosure

CC:

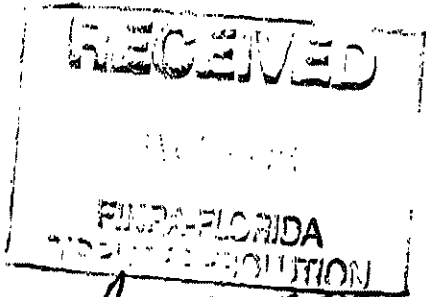
Douglas Earl McLaren

RECIPIENTS:

Andrew Jiranek, Esq, Laurent J. La Brie  
16 Willow Avenue, Baltimore, MD 21286

Hollie M. Mason, Scott Allan Cornett  
TD Ameritrade, Inc., 4211 South 102nd Street, Omaha, NE 68127

Hollie M. Mason, TD Ameritrade, Inc.  
TD Ameritrade, Inc., 4211 South 102nd Street, Omaha, NE 68127



FINRA Dispute Resolution

ORDER

Case Number: 11-03725
Case Name: LAURENT J. LA BRIE VS. TD AMERITRADE AND SCOTT ALLAN CORNETT
Issues Addressed: CLAIMANT'S MOTION TO COMPEL DISCOVERY DATED FEBRUARY 27, 2012

Pre-Hearing Conference Held?: Yes No (circle one)

Date/Time: 03/09/2012 @ 10:00 AM (EST)

Participating in the conference were:

Chairperson: DOUGLAS E. MCLAREN

Panelist: -

Panelist: -

Claimant's Representative: TIM FAITH

#1 Respondent's Representative: HOLLIE MASON

#2 Respondent's Representative: -

FINRA Dispute Resolution Staff: LISA LASHER

Decided by: Chairperson Panel (circle one)

Rulings:1

After considering the pleadings submitted by the parties (and oral arguments, if pre-hearing conference held), the Panel/Chairperson rules as follows:

- 1. SEE ATTACHMENT

1 If more space is needed, add additional pages.

2. \_\_\_\_\_  
\_\_\_\_\_

3. \_\_\_\_\_  
\_\_\_\_\_

The parties should comply with this order by 03/30/2012

If the parties settle this matter prior to the hearing, the forum fees for this pre-hearing conference (or discovery-related motion decided without a pre-hearing conference) are assessed as follows:

- \_\_\_\_\_ % to Claimant(s), jointly and severally
- \_\_\_\_\_ % to Respondent(s), jointly and severally
- \_\_\_\_\_ % assessed to \_\_\_\_\_
- \_\_\_\_\_ % assessed to \_\_\_\_\_
- \_\_\_\_\_ % assessed to \_\_\_\_\_
- \_\_\_\_\_ % assessed to \_\_\_\_\_

x D. S. McQueen  
Chairperson,  
On behalf of the Arbitration Panel

Date: 03/12/2012

**LAURENT J. LA BRIE vs. TD AMERITRADE AND SCOTT ALLAN CORNETT  
(FINRA #11-03725)  
ATTACHMENT  
RULINGS**

**REQUESTS #3 AND #4**

As agreed by counsel for Respondents, Respondents shall produce a written affirmation to Claimants with language that conveys that Respondents did not at any time enter into a contract for the Puts at issue, and that Respondents merely cleared the transaction in accordance with their established business model. The affirmation shall also affirm that Respondents did NOT receive any proceeds from the transaction apart from their usual and customary fee, and that Respondents have no other documents relevant to Requests #3 and #4 in their possession, custody or control that have not already been provided to Claimant.

Respondents shall provide contact information for both their clearing company and settlement company.

**REQUEST #5**

Denied.

**REQUEST #8**

Upon receipt from Claimant of the specific entries of interest on the phone log previously provided by Respondents, Respondents shall produce any relevant additional information related to these entries in its possession, custody or control to Claimant.

**REQUESTS #9, #10, #11, #14, #15**

Denied.

**REQUEST #16**

Respondents shall produce, for the dates March 27 and March 31, 2009, any notes, telephonic recordings, electronic messages and posted documents regarding the transactions at issue which are in Respondents' possession, custody or control to Claimant.

**REQUEST #17**

Respondents shall produce any records of conversations or other communications between Scott Cornett and other staff members regarding Claimant or the related transactions in its possession, custody or control to Claimant.

**REQUEST #18**

Upon receipt from Claimant of the names referenced in this request, Respondents shall inform Claimant whether or not any records of correspondence with the compliance department regarding any reprimands or disciplinary actions of these persons related to the transactions at issue are in its possession, custody or control. If responsive documents are available they shall also be produced to Claimant.

**REQUESTS #19, # 20, #21**

Denied.