

FINRA Dispute Resolution
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Number of Pages including the Cover Sheet: _____

Date: 06/20/2012

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
Senior Case Administrator

A handwritten signature in black ink, appearing to be "L. Lasher", is written over the printed name and title of the sender.

Message:

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FINRA



Financial Industry Regulatory Authority

VIA FACSIMILE

June 20, 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 Chairperson dated June 18, 2012.

Very truly yours,

Lisa D. Lasher/es

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

LYL:es3:LC53A
idr: 07/22/2008

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

LYL

FINRA Dispute Resolution

ORDER

Case Number: 11-03725

Case Name: LAURENT J. LA BRIE VS. TD AMERITRADE AND SCOTT ALLAN CORNETT

Issues Addressed: (ie., name of motion or request, by which party)

MOTION TO AMEND STATEMENT OF CLAIM

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

Date/Time: 06/15/2012 - 10:00 AM (EDT)

Participating in the conference were:

Chairperson: DOUGLAS E. McLAREN

Panelist: -

Panelist: -

Claimant's Representative: LAURENT J. LA BRIE (PRO SE)

#1 Respondent's Representative: HOLLY MASON, ESQ.

#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. CLAIMANT'S MOTION TO AMEND STATEMENT OF CLAIM IS DENIED

1 If more space is needed, add additional pages.

2. CLAIMANT MAY REQUEST A SUBPOENA
PURSUANT TO FINRA RULE 12512.

3. _____

The parties should comply with this order by JUNE 29, 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:

- 100% to Claimant(s), jointly and severally
- _____ % to Respondent(s), jointly and severally
- _____ % assessed to _____
- _____ % assessed to _____
- _____ % assessed to _____
- _____ % assessed to _____

x D. E. McLean
Chairperson,
On behalf of the Arbitration Panel

Date: 06/18/2012