

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-00673

Ke-Yu Xiong, claimant vs. Ameritrade, Inc., respondent.

ATTORNEYS

Claimant Ke-Yu Xiong, appeared Pro Se, Friendswood, TX

For Respondent Ameritrade, Inc. appeared in-house counsel, James A. Ricketts, Bellevue, NE

DATE FILED: February 15, 2000

CASE SUMMARY: Claimant alleged respondent violated NASD margin rules, was negligent and did unfair and unreasonable business regarding the purchase of Plug Power Inc., (PLUG) stock. Claimant further alleged that he attempted to send funds to cover his account in the event of a margin call but respondent later liquidated his 600 shares of PLUG stock.

Claim Data

Claim: \$20,462.00
Punitive: \$4,000.00
Other: \$300.00

Award Data

Award: \$.00
Punitive: \$.00
Other: \$.00

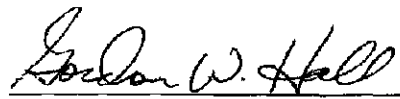
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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

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Award 00-00673

AFFIRMATION

I, Gordon W. Hall, Esq., 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.



Gordon W. Hall, Esq.

August 28, 2000
Date of award