

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE:00-03270

Darrel K. Hadley, claimant vs. Ameritrade, Incorporated, respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se, Victorville, CA.

Respondent appeared through in-house counsel, Caroline F. Wyzykowski, Bellevue, NE.

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**DATE FILED:** August 1, 2000.

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**CASE SUMMARY:** Claimant alleged that respondent failed to process five transfer forms in a timely manner thereby causing financial losses.

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**Claim Data**

Claim: \$9,672.09  
Punitive: \$2,800.00  
Attorney Fees: \$50.00  
Interest: unspecified  
  
Other: \$425.00

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**Award Data**

Award: \$7,281.00  
Punitive: \$.00  
Attorney Fees: \$.00  
Interest: 7% per annum from March 30, 2000 to date of award.  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$7,281.00. 2) Respondent is liable and shall pay to the claimant interest of 7% per annum from March 30, 2000 to the date of the award. 3) All requests for attorney fees are denied. 4) All requests for punitive damages are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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**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 00-03270


Jack I. Samet, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Jack I. Samet, 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.

  
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Jack I. Samet, Esq.

  
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Signature Date

July 24, 2001  
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Date of Service (for NASD Office Use Only)