

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04322

Michael G. Steiniger, DBPP, Claimant vs. Ameritrade, Inc., Respondent.

ATTORNEYS:

Claimant, Michael G. Steiniger, DBPP, ("Claimant"), appeared through its trustee, Michael G. Steiniger, Esq., Encino, CA.

Respondent, Ameritrade, Inc., ("Respondent"), appeared through its Regulatory Manager, James J. Vihstadt, Esq., Bellevue, NE.

DATE FILED: September 29, 2000.

CASE SUMMARY: Claimant alleged that on March 2, 2000, he placed a stop order with Respondent to sell 100 shares of 3com Corp. (Symbol: COMS) at \$101.00 per share. Claimant maintained that, despite his request, Respondent sold the COMS shares at \$88 3/8 per share. Claimant stated that because of Respondent's actions, he incurred a financial loss.

Claim Data

Claim: \$1,200.00
Costs: \$25.00

Award Data

Award: \$.00
Costs: \$.00

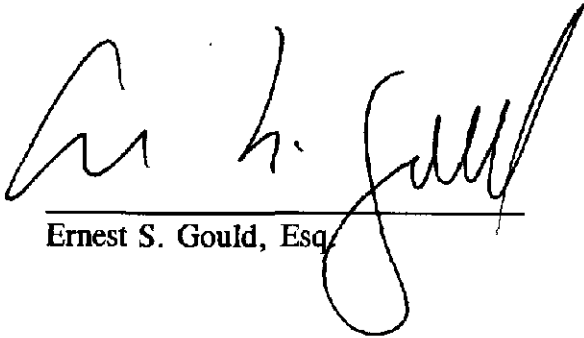
AWARD: The undersigned Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD 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 \$150.00 Member Surcharge previously invoiced.

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Award 00-04322

AFFIRMATION

I, Ernest S. Gould, 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.



Ernest S. Gould, Esq.

April 10, 2001
Date of award