

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

CASE:00-05775

Kermit and Margaret Schley, claimants vs. Ameritrade, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se, Sun City West, AZ.

For Respondent appeared James J. Vihstadt, Esq., in-house counsel, Bellevue, NE.

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DATE FILED: December 18, 2000

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**CASE SUMMARY:** Claimants alleged that respondent made unauthorized trades in their account thereby creating a loss.

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**Claim Data**

Claim: \$2,009.56

Filing Fees: \$.00

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**Award Data**

Award: \$.00

Filing Fees: \$75.00

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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) The claims of claimants 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 claimants, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimants \$75.00 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Ameritrade, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

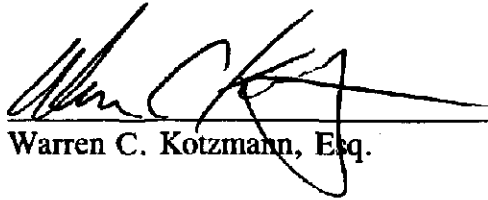
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Award 00-05775

Warren C. Kotzmann, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Warren C. Kotzmann, 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.

  
Warren C. Kotzmann, Esq.

November 27, 2002  
Signature Date

December 4, 2001  
Date of Service (For NASD-DR office use only)