

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00539

Timothy Weddle Goad, (Claimant) vs. Ameritrade, Inc., (Respondent)

ATTORNEYS:

Claimant appeared pro se, Fayetteville, NC.

For Respondent appeared in-house counsel James. V. Vihstadt, Esq., Omaha, NE.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: January 24, 2005

CASE SUMMARY: Claimant alleged that Respondent misrepresented and omitted material facts regarding his investments. Claimant further alleged negligence and breach of contract. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various common stock.

ARBITRATOR'S REPORT: See attached Exhibit A.

Claim Data

Claim: \$18,530.99
Filing Fees: \$100.00
Other: Reversal of trades

Award Data

Award: \$.00
Filing Fees: \$.00
Other: Denied

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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution previously waived the \$425.00 filing fee. 4) Respondent is liable and shall pay NASD Dispute Resolution \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 05-00539

N. John Garcia

Sole Public Arbitrator

AFFIRMATION

I, N. John Garcia, 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.

N. John Garcia
N. John Garcia

8-23-05
(Signature Date)

August 24, 2005
Date of Service (For NASD-DR office use only)