

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

---

**CASE: 06-00875**

Tony and Rosetta N. Reed, (Claimants) vs. Ameritrade, Inc., (Respondent)

---

**ATTORNEYS:**

Claimants appeared *pro se*, Bakersfield, CA.

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

---

**NATURE OF DISPUTE:** Customers vs. Member

---

**DATE FILED:** February 20, 2006

---

**CASE SUMMARY:** Claimants alleged that Respondent placed them in investments that were unsuitable for their needs. Claimants further alleged unauthorized trading. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved various common stock.

---

**Claim Data**

Claim: \$14,000.00  
Filing Fees: Unspecified

**Award Data**

Award: \$1,400.00  
Filing Fees: \$425.00

---

**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 Claimants \$1,400.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously. 4) Respondent is liable and shall pay Claimants \$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.

Page Two  
Award 06-00875

Kenneth E. Alexander

Sole Public Arbitrator

AFFIRMATION

I, Kenneth E. Alexander, 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.

  
Kenneth E. Alexander

  
(Signature Date)

June 22, 2006  
Date of Service (For NASD-DR office use only)