

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

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CASE: 06-01562

Ollie Lee Myrick, (Claimant) vs. Ameritrade, Inc. a/k/a Advanced Clearing, Inc.  
(Respondent)

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**ATTORNEYS:**

Claimant appeared *pro se*, Kihei, HI.

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

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

**DATE FILED:** March 23, 2006

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**CASE SUMMARY:** Claimant alleged that Respondent placed him in investments that were unsuitable for his needs and omitted facts regarding these investments. Claimant further alleged negligence and failure to supervise. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved common stock, warrants and reverse repurchase agreements.

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**Claim Data**

Claim: \$9,244.54  
Filing Fees: Unspecified

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**Award Data**

Award: \$3,900.00  
Filing Fees: \$325.00

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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 \$3,900.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$325.00 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 the \$325.00 Member Surcharge previously invoiced.

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Award 06-01562

Walter H. Ikeda, Esq.

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Sole Public Arbitrator

AFFIRMATION

I, Walter H. Ikeda, 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.

Walter H. Ikeda  
Walter H. Ikeda, Esq.

Oct 17, 2006  
(Signature Date)

October 25, 2006  
Date of Service (For NASD-DR office use only)