

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03391

Joseph L. Stefens and Susan P. Stefens, (Claimants) vs. Ameritrade, Inc.,
(Respondent)

ATTORNEYS:

Claimants appeared *pro se*, Emmaus, PA.

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

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: July 18, 2006

CASE SUMMARY: Claimants alleged that Respondent owes them dividends. Claimants maintained that due to respondent's actions, they suffered a financial loss. Claimants' claim involved common stock.

Claim Data

Claim: \$1,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$50.00

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 the Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimants deposited previously. 4) Respondent is liable and shall pay Claimants \$50.00 as reimbursement of the filing fee.

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

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Award 06-03391

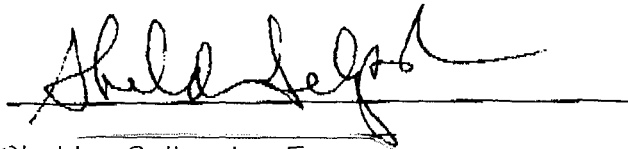
Sheldon Seligsohn, Esq.

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Sole Public Arbitrator

AFFIRMATION

I, Sheldon Seligsohn, 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.

A handwritten signature in black ink, appearing to read "Sheldon Seligsohn", is written over a horizontal line.

Sheldon Seligsohn, Esq.

11/06/06

(Signature Date)

November 15, 2006

Date of Service (For NASD-DR office use only)