

**N.A.S.D. REGULATION, INC. AWARD**

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CASE: 98-00382

John B. Barry, claimant vs. Ameritrade, respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se. - Sugar Grove, NC.

For Respondent appeared James A. Rickett - Omaha, NE.

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**DATE FILED: 2/2/98**

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**CASE SUMMARY:** Claimant alleged failure to execute trade.

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**Claim Data**

Claim: \$3,900.00  
Interest Requested  
Filing Fees: \$125.00  
Costs: Requested

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**Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$.00  
Costs \$.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 claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

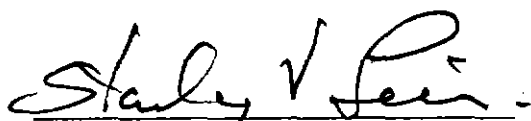
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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, Stanley V. Lewis, 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.

  
Stanley V. Lewis

October 8, 1998  
Date of award