

**AWARD
NASD Regulation, Inc.**

CASE: 99-00552

Karen Kelly, IRA, claimant vs. Ameritrade, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se - Somerset, NJ.

Respondent appeared through its Vice President, James A. Ricketts - Bellevue, NE.

DATE FILED: February 8, 1999

CASE SUMMARY: Claimant alleged that after she had contacted a broker and placed an order for the purchase of Dell Computer stock, respondent acted improperly in executing her previous Good-Till-Cancelled order, which resulted in an overdraft condition in claimant's IRA account.

Claim Data

Claim: \$19,736.48

Punitive: \$ unspecified

Costs: \$.00

Filing Fees: \$150.00

Award Data

Award: \$.00

Punitive: \$.00

Costs: \$.00

Filing Fees: \$.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 claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for costs are denied. 4) All other relief requests are denied. 5) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Daniel Robbins, Esq., do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Daniel Robbins, Esq.

October 19, 1999

Date of award