

AWARD

NASD Regulation, Inc.

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CASE: 99-00748

Moses J. Yogaraj, claimant vs. Ameritrade, Inc., respondents.

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ATTORNEYS:

Claimant appeared Pro Se- Adelphi, MD.

For Respondent appeared James A. Ricketts- Bellevue, NE.

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DATE FILED: February 19, 1999

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CASE SUMMARY: Claimant alleged Respondent failed to execute a buy order which resulted in claimant having to pay a higher price.

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**Claim Data**

Claim: \$1,400.00  
Punitive: Unspecified  
Atty Fees: \$.00  
Filing Fees: \$.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$25.00

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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 requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$50.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 5) Respondent shall pay claimant \$25.00 as reimbursement for one-half of the filing fee.

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OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, Robert A. Marmet, 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.

  
Robert A. Marmet

November 24, 1999  
Date of award