

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 99-00902

Jon E. Guidry and Lorraine Guidry, claimants vs. Ameritrade, Inc., respondent.

ATTORNEYS:

Claimants, Jon E. Guidry and Lorraine Guidry, appeared Pro Se., Reserve, LA.

Respondent, Ameritrade, Inc., appeared through its Vice President, James A. Rickets, Bellevue, NE.

DATE FILED: 03/02/1999

CASE SUMMARY: Claimants alleged that respondent failed to execute a sell order. Specifically, on November 27, 1998, claimants maintained that they placed an order to sell 2000 shares of CYSP at \$24.00 per share. Claimants also maintained that on November 30, 1998, when CYSP dropped to \$24.00 their market order should have been executed. Claimants also alleged that respondent advertised that trades would be executed within seconds. Further, claimants alleged that after receiving confirmation respondent had executed the trade for 1810 shares for 17 5/8 and 190 shares for 19. Claimants also maintained that respondent failed to execute their order properly and failed to live up to its brokerage agreement.

Claim Data

Claim: \$9,500.00
Costs: \$500.00

Award Data

Award: \$.00
Costs: \$.00

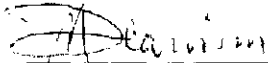
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with the 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 \$300.00 Member Surcharge previously invoiced.

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Award 99-00902

AFFIRMATION

I, Michael D. Harrison, 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.



Michael D. Harrison

January 13, 2000

Date of award