

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

CASE: 99-01093

Ann Lewitinn, claimant vs. Ameritrade, Inc., respondent.

ATTORNEYS:

Claimant Ann Lewitinn ("Claimant"), appeared Pro Se., Brooklyn, New York.

For Respondent Ameritrade, Inc. ("Respondent"), James A. Ricketts, Vice President of Ameritrade, Bellevue, Nebraska.

DATE FILED: 03/09/1999

CASE SUMMARY: Claimant alleged that on July 24, 1998, Respondent placed an order to purchase 2,500 shares of CVTY however, Respondent, in two separate transactions purchased 5000 shares for her account.

Claim Data

Claim: \$2546.00
Filing Fees: \$125.00

Award Data

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

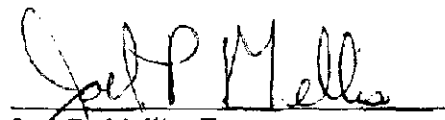
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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

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Award 99-01093

AFFIRMATION

I, Joel P. Mellis, 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.


Joel P. Mellis, Esq.

January 28, 2000

Date of Award