

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

CASE: 99-01148

Joseph Aubry, claimant vs. Ameritrade, respondent.

ATTORNEYS:

Claimant Joseph Aubry appeared Pro Se., Glassboro, New Jersey.

Respondent Ameritrade, Inc., appeared through its Vice President, James Ricketts and Senior Regulatory Manager, James J. Vihstadt, Bellevue, Nebraska.

DATE FILED: 3/11/1999

CASE SUMMARY: Claimant alleged that Respondent failed to execute his purchase order of Open Market, Inc. (OMKT) common stock in a timely manner.

Claim Data

Claim: \$1,858.74

Award Data

Award: \$.00

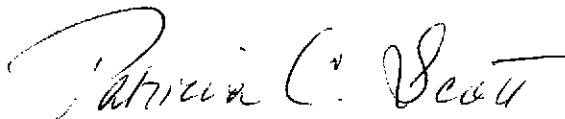
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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

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Award 99-01148

AFFIRMATION

I, Patricia C. Scott, 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.

A handwritten signature in cursive script, reading "Patricia C. Scott", written over a horizontal line.

Patricia C. Scott, Esq.

January 20, 2000

Date of Award