

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

CASE: 99-01727

John B. and Molly R. Barry, claimants vs. Ameritrade, Inc., respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se., Sugar Grove, NC.

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

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DATE FILED: 4/13/99

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CASE SUMMARY: Claimants alleged mishandling by respondent of orders placed by claimants for purchases of shares of Navarre Corporation stock (NAVR).

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**Claim Data**

Claim: \$16,112.00  
Punitive: \$8,056.00  
Interest: interest @ margin rate  
from settlement date to 9/27/99  
Other: \$.00  
Filing Fee: \$.00

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**Award Data**

Award: \$7,406.25  
Punitive: \$.00  
Interest: @ Citibank prime rate  
from 9/27/99 to date of award payment  
Other: \$.00  
Filing Fee: \$425.00

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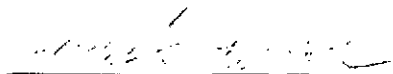
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$7,406.25. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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AFFIRMATION

I, Arne Hovdesven, 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.

  
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Arne Hovdesven

November 9, 1999  
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Date of award