



NASD Regulation, Inc.

Office of Dispute Resolution

125 Broad Street * 36th Floor * New York, NY 10004-2193 * 212-858-4400 * Fax 212-858-4389

Satellite Office at 1735 K Street * 4th Floor * NW * Washington, DC 20006-1506 * 202-728-8958 * Fax 202-728-6952

N.A.S.D. REGULATION AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: #99-02183

Michael J. Mills, claimant vs. Ameritrade, Inc., respondent.

ATTORNEYS:

Claimant, Michael J. Mills, appeared Pro Se, Bradley Beach, NJ.

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

DATE FILED: May 12, 1999

CASE SUMMARY: Claimant alleged that he had initiated a DTC transfer of funds to cover a margin call when he purchased 140 shares of Etrade with respondent. Claimant further alleged that the shares from this DTC transfer arrived at respondent on 2/9/99, but the shares were not posted until 2/10/99, after his entire account had been liquidated at a loss.

Claim Data

Claim: \$5,000.00 and return
of 145 shares of Etrade
Filing Fee: \$.00

Award Data

Award: \$.00
Filing Fee: \$87.50

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 \$175.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondent shall pay claimant \$87.50 as reimbursement for 50% of the filing fee.

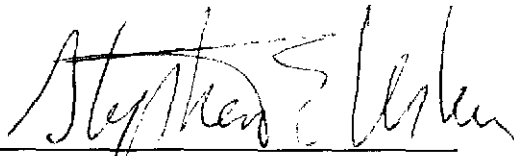
OTHER

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

Page Two
Award 99-02183

AFFIRMATION

I, Stephen E. Usher, 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.



Stephen E. Usher

____ June 27, 2000 ____
Date of award