

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

CASE: 99-02335

John Pina, claimant vs. Ameritrade, Inc. respondent

ATTORNEYS:

Claimant, John Pina ("Claimant"), appeared Pro Se.. Santa Barbara, CA

For Respondent Ameritrade, Inc. (Respondent"), James J. Vihstadt, Senior Regulatory Manager of Ameritrade, Inc. Regulatory Department, Bellevue, NE.

DATE FILED: May 21, 1999

CASE SUMMARY: Claimant alleged that on February 18, 1999 he opened a cash account with Respondent and bought 10,666 shares of METHODOX(TOX.co. symbol). Claimant further alleged that shortly after that the company did a 20 to 1 stock split, Respondent repurchased 10,333 of shares of stock without his permission, which resulted in a financial loss. Respondent

Respondent in its Counterclaim alleged Claimant's losses are a result of his own actions since several press releases were disseminated to the general public of the twenty-for-one reverse stock split. Respondent further alleged that Claimant's action resulted in a loss of \$4,284.16. Respondent

Claim Data

Claim: \$2,000.00

Counterclaim: \$4,284.16

Costs: Unspecified

Award Data

Award: \$.00

Counterclaim: \$4,284.16

costs: \$.00

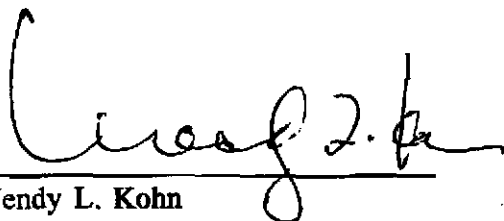
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) Claimant is liable and shall pay to the Respondent \$4,284.16. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc. 5) The \$525.00 filing fee previously deposited with the National Association Dealer Regulation, Inc. by the Respondent, shall be retained by NASD Regulation, Inc.

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

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AFFIRMATION

I, Wendy L. Kohn, 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.



Wendy L. Kohn

Date of award