

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

CASE: 99-02399

Lleras Family Trust, claimant vs. Ameritrade, Inc., respondent.

ATTORNEYS:

For Claimant Lleras Family Trust ("Claimant") appeared Oswaldo Lleras, Pro Se,
Cape Coral, FL.

For Respondent Ameritrade, Inc. ("Respondent") appeared in-house counsel
James J. Vihstadt, Esq., Bellevue, NE.

DATE FILED: 05/25/99

CASE SUMMARY: Claimant alleged that when on April 22, 1999 Claimant placed a trade to sell 4000 shares of TSATA with Respondent online Respondent provided inaccurate information, that Claimant would never have made the trade but for the false information posted online by Respondent.

Claim Data

Claim: \$4,375.00
Filing Fees: \$175.00

Award Data

Award: \$.00
Filing Fees: \$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 is liable and shall pay claimant \$87.50 as partial reimbursement 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.

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Award 99-02399

AFFIRMATION

I, Sherman S. Dantzler, 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.


Sherman S. Dantzler

April 26, 2000

Date of award