

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

CASE: 99-05171

Michael C. Dukeshier and Jennifer J. Dukeshier, claimants vs. Ameritrade, Inc., respondent.

---

**ATTORNEYS:**

Claimants appeared Pro Se, Lee's Summit, MO.

For respondent appeared James J. Vihstadt of Ameritrade, Inc. Bellevue, NE.

---

DATE FILED: November 16, 1999

---

**CASE SUMMARY:** Claimants alleged that respondent failed to execute his buy limit order for 1500 shares of Amresco Capital Trust (AMCT) stock. Claimant further alleged that after he replaced his bid for the next day, respondent filled it at an incorrect price.

---

**Claim Data**

Claim: \$600.00  
Punitive: \$300.00  
Filing Fees: \$0.00

---

**Award Data**

Award: \$93.00  
Punitive: \$0.00  
Filing Fees: \$50.00

---

**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 \$93.00. 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. 4) Respondent is liable and shall pay claimant \$50.00 as reimbursement of the filing fee.

---

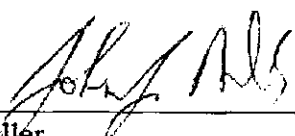
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

---

Page Two  
Award 99-5171

**AFFIRMATION**

I, John Miller, 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.

  
\_\_\_\_\_  
John Miller

August 16, 2000  
\_\_\_\_\_  
Date of award

**RECIPIENTS:**

John J. Miller, Esq.