

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00428

Andrew Thompson, claimant vs. Charles Schwab & Company, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se., Birmingham, AL.

For Respondent appeared in-house counsel Gregory M. Scanlon, Esq., San Francisco, CA.

DATE FILED: February 1, 2000

CASE SUMMARY: Claimant alleged that respondent failed to provide him with a requested stock quote and a requested transfer agent address.

ARBITRATOR'S REPORT: The Claimant failed to state a claim against Respondent upon which relief could be granted.

Claim Data

Claim: \$1,500.00

Award Data

Award: \$.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) All other relief requests are denied. 3) The arbitrator has granted claimant's request for a waiver of the \$75.00 filing fee.

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

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AFFIRMATION

I, Keith Logue, 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.



Keith Logue

January 2, 2001

Date of Award