

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE:00-03487

Ernest A. Schroer, Jr. and Patricia M. Schroer Living Trust, claimant vs. PaineWebber Inc. and Mark Chenian, respondents.

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**ATTORNEYS:**

Claimant appeared *Pro Se*, Northridge, CA.

For Respondents appeared Lisa K. Donahue, Esq., in-house counsel, Los Angeles, CA.

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DATE FILED: August 11, 2000

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**CASE SUMMARY:** Claimant alleged that respondents failed to timely execute a sell order of ICOS stock and failed to timely execute two transfers regarding claimants' accounts. Claimant further alleges that respondents failed to respond to requests for information regarding the transfer of Censtor Security.

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**Claim Data**

Claim: \$15,822.00  
Punitive: \$8,000.00  
Attorney Fees: unspecified  
Filing Fees: unspecified  
Other: unspecified

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**Award Data**

Award: \$0.00  
Punitive: \$0.00  
Attorney Fees: \$0.00  
Filing Fees: \$212.50  
Other: \$0.00

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**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 request for punitive damages are denied. 3) All request for attorney fees are denied. 4) All other relief requests are denied. 5) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Mark Chenian registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Mark Chenian must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondent PaineWebber shall pay claimant \$212.50 as reimbursement for one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent PaineWebber has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-03487

Willy Nordwind, Jr., Esq.

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Sole Public Arbitrator

**AFFIRMATION**

I, Willy Nordwind, Jr. Esq., 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.

Willy Nordwind Jr.  
Willy Nordwind, Jr. Esq.

8/9/01  
Signature Date

August 17, 2001  
Date of Service (for NASD Office Use Only)