

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03584

Charles Schwab & Co., Inc., Claimant vs. William D. Brewer, Respondents.

ATTORNEYS:

Claimant appeared through Edmund V. Saucedo, Office of Corporate Counsel, San Francisco, CA.

Respondent appeared Pro Se, Tupelo, MS.

DATE FILED: August 17, 2000

CASE SUMMARY: Claimant alleged that Respondent placed a market order of 6,000 shares of Lotsoff Corp. without the requisite funds in his account to cover the trade. Claimant further alleged that it was forced to liquidate Respondent's account in order to cover the debt owed to Claimant. Claimant maintained that after the liquidation of Respondent's account Respondent owed Claimant a principal balance of \$24,228.67.

Claim Data

Claim: \$24,228.67
Filing Fees: \$1,050.00
Interest: 8.5% p.a. from 12/1/97 to present
Other: unspecified

Award Data

Award: \$11,844.49
Filing Fees: \$.00
Interest: \$.00
Other: \$.00

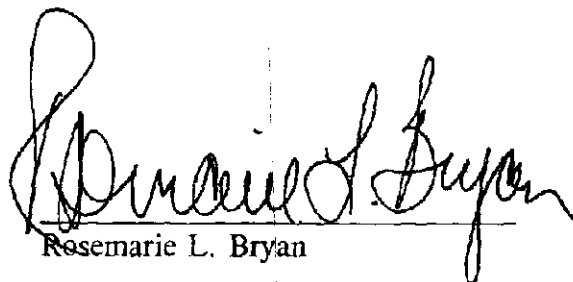
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$11,844.49. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

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

Page Two
Award 00-03584

AFFIRMATION

I, Rosemarie L. Bryan, 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.



Rosemarie L. Bryan

March 23, 2001

Date of award