

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

CASE: 00-04031

Charles Schwab & Co., Claimant vs. John B. Arnold, Respondent.

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**ATTORNEYS:**

Claimant, Charles Schwab & Co., ("Claimant"), appeared through its in-house counsel Brandon K. Hemley, Esq., San Francisco, CA.

Respondent, John B. Arnold ("Respondent"), appeared Pro Se, Baton Rouge, LA.

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DATE FILED: September 14, 2000.

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CASE SUMMARY: Claimant alleged Respondent failed to provide the necessary funds to cover debt owed.

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**Claim Data**

Claim: \$15,665.67  
Filing Fees: \$1,050.00  
Other: unspecified  
Interest: 9.5% p.a. from April 1, 2000  
until award is paid.

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**Award Data**

Award: \$15,665.69  
Filing Fees: \$1,050.00  
Other: \$.00  
Interest: 9.5% p.a. from April 1, 2000  
until award is paid.

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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) Respondent is liable and shall pay to the Claimant \$15,665.69. 2) Respondent is liable and shall pay Claimant interest at the rate of 9%<sup>5</sup> per annum from April 1, 2000 until date award is paid. 3) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay to the Claimant \$1,050.00 as reimbursement of the filing fee. 9% AUB

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

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OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the Arbitrator determined that Respondent was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail and is therefore bound by the arbitrator's ruling and determination.

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**AFFIRMATION**

I, Ashley L. Belleau, 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.



Ashley L. Belleau, Esq.

March 8, 2001

Date of award