

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

CASE: 00-05051

Laura Bollenbacher, claimant vs. Charles Schwab & Company, respondent.

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**ATTORNEYS:**

For Claimant, Laura Bollenbacher, appeared Tom Bollenbacher, Hiram Village, OH.

For Respondent, Charles Schwab & Company, appeared Jane M. Weston, Esq., San Francisco, CA.

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**DATE FILED:** November 14, 2000

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**CASE SUMMARY:** Claimant alleged that respondent failed to notify claimant of a balance due in the account and instead, sold shares of WOGSX without authorization, causing a loss in the account.

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**Claim Data**

Claim: \$1,991.65  
Interest: unspecified

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**Award Data**

Award: \$1,991.65  
Interest: 10% per annum from  
September 14, 2000 to date of award

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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 \$1,991.65. 2) Respondent is liable and shall pay to the claimant interest at 10% per annum from September 14, 2000 to the date of award. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$75.00 as reimbursement of the filing fee.

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**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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Award 00-05051

Thomas H. Barnard, Esq.

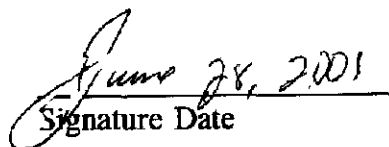
Sole Public Arbitrator

**AFFIRMATION**

I, Thomas H. Barnard, 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.



Thomas H. Barnard, Esq.

  
Signature Date

**RECIPIENTS:**

Thomas H. Barnard, Jr., Esq.

July 24, 2001  
Date of Service (for NASD Office Use Only)