

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-05269

Theodore K. Krueger, claimant vs. Charles Schwab & Co., respondent.

ATTORNEYS:

Claimant appeared Pro Se, Sturgeon Bay, WI.

For Respondent appeared Mauricio S. Beugelmans, Esq., in-house counsel, San Francisco, CA.

DATE FILED: November 28, 2000

CASE SUMMARY: Claimant alleged that respondent failed to execute trades as requested thereby causing a loss in his account.

Claim Data

Claim: \$20,000.00

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 \$450.00 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, respondent has not paid to NASD Dispute Resolution, Inc. the \$600.00 Member Surcharge previously invoiced.

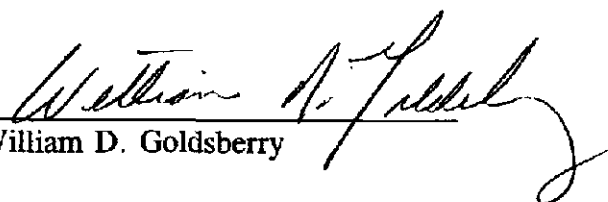
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Award 00-05269

William D. Goldsberry

Sole Public Arbitrator

AFFIRMATION

I, William D. Goldsberry , 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.


William D. Goldsberry

5/21/01
Date of award

June 7, 2001
Date of service (for NASD office use)