

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00095

Chauncey CS Chen, Claimant vs. Charles Schwab, Respondent.

ATTORNEYS:

Claimant Chauncey CS Chen ("Claimant"), appeared Pro Se, Elmhurst, NY.

Respondent Charles Schwab & Company, Inc. ("Respondent"), appeared through its in-house counsel, Richard A. Karoly, Esq., San Francisco, CA.

DATE FILED: January 9, 2001.

CASE SUMMARY: Claimant alleged that Respondent misplaced a check that was to be deposited into his account and without prior authorization, sold all of his internet and other stocks. Claimant further alleges that Respondent barred his internet trading rights, and as a result of Respondent's actions, he suffered financial losses.

Claim Data

Claim: \$500.00
Punitive: \$500.00
Filing Fees: \$50.00
Other: restoration of his
internet trading rights.

Award Data

Award: \$500.00
Punitive: \$.00
Filing Fees: \$50.00
Other: restoration of internet trading
rights.

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 \$500.00. 2) All requests for punitive damages are denied. 3) All request for the restoration of Mr. Chen's internet trading rights is granted.. 4) The \$50.00 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 to the Claimant \$50.00 as reimbursement of the filing fees.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

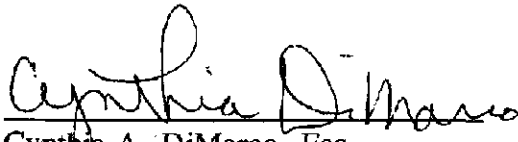
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Cynthia A. DiMarco, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Cynthia A. DiMarco, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Cynthia A. DiMarco, Esq.

9-7-01
Signature Date

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