

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00565

Charles Schwab & Co., Inc., claimant vs. Evans P. Weaver, respondent.

ATTORNEYS:

For Claimant appeared Brandon K. Hemley, in-house counsel, San Francisco, CA.

Respondent failed to submit a response to the Statement of Claim.

DATE FILED: February 2, 2001

CASE SUMMARY: Claimant alleged that respondent failed to repay the debit balance on his margin account.

Claim Data

Claim: \$14,955.75
Interest: at 10% per annum from and after
January 1, 2000 until balance is paid
said interest amounting to \$4.08 per day.
Filing Fees: \$1,450.00
Attorney's Fees: unspecified
Other: unspecified

Award Data

Award: \$14,955.75
Interest: at 10% per annum from
January 1, 2000 until award
is paid in full.
Filing Fees: \$.00
Attorney's Fees: \$.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 \$14,995.75. 1) Respondent is liable and shall pay to the claimant interest at a rate of 10% per annum from January 1, 2000 until the award is paid in full. 2) All requests for attorney fees are denied. 3) 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.

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

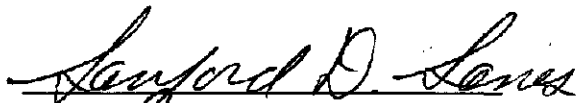
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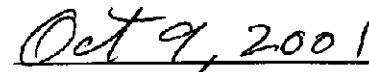
Sanford D. Sanes

Sole Public Arbitrator

AFFIRMATION

I, Sanford D. Sanes, 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.


Sanford D. Sanes


Signature Date

October 17, 2001
Date of Service (For NASD-DR office use only)