

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01410

Vincent M. Rodriguez, claimant vs. Charles Schwab & Co., respondent.

ATTORNEYS:

Claimant appeared Pro Se, Pembroke Pines, FL.

For Respondents appeared Beth Greenspan, Esq., in-house counsel, San Francisco, CA.

DATE FILED: March 20, 2001

CASE SUMMARY: Claimant alleged that respondent did not process a trade to close the position of his DCX stock as requested by the claimant.

Claim Data

Claim: \$650.00
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$650.00
Filing Fees: \$50.00
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 \$650.00. 2) All other relief requests are denied. 3) The \$50.00 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 claimant \$50.00 as reimbursement of the filing fee.

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

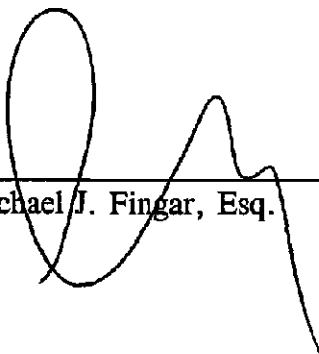
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Award 01-01410

Michael J. Fingar, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Michael J. Fingar, Esq., 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.



Michael J. Fingar, Esq.

9-23-01

Signature Date

September 24, 2001
Date of Service (for NASD OFFice Use Only)