

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01961

Randy Azarian, claimant vs. Charles Schwab & Co., Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se, Mountain View, CA.

For Respondent appeared Robert K. Crowe, Esq., in-house counsel, San Francisco, CA.

DATE FILED: April 18, 2001

CASE SUMMARY: Claimant alleged that respondent made unauthorized trades and were negligent in processing the sale of his post-split INTEL shares of stock thereby causing a loss to his account.

COUNTERCLAIM: Respondent in its counterclaim alleged that it was forced to "buy-in" sixty-six post-split INTEL shares to cover claimant's short position.

ARBITRATOR'S REPORT: Mr. Azarian is to deliver the sixty-six (66) post-split INTEL shares to Charles Schwab & Co., Inc. within thirty (30) days of date of award

Claim Data

Claim: \$25,000.00
Other: unspecified

Award Data

Award: \$2,000.00
Other: \$.00

Counterclaim Data

Counterclaim: \$3,714.45
Filing Fees: \$525.00
Other: unspecified

Counterclaim Award Data

Award: \$.00
Filing 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) Respondents are liable and shall pay to the claimant \$2,000.00. 2) All other relief requests are denied.

COUNTERCLAIM: 1) Respondent's Counterclaim is dismissed in it entirety. 2) All other relief requests are denied. 3) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Respondent, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Charles Schwab & Co., Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

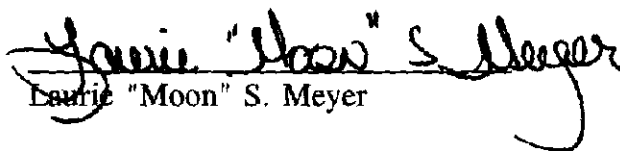
Page Two
Award 01-01961

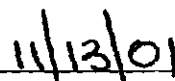
Laurie "Moon" S. Meyer

Sole Public Arbitrator

AFFIRMATION

I, Laurie "Moon" S. Meyer, 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.


Laurie "Moon" S. Meyer


Signature Date

November 27, 2001
Date of Service (For NASD-DR office use only)