

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04806

Solomon Vogel, claimant vs. Charles Schwab & Co., Inc., respondent

ATTORNEYS:

Claimant appeared pro se, Brooklyn, NY.

Respondent appeared through its in-house counsel, Brandon K. Hemley, Esq., San Francisco, CA.

DATE FILED: August 15, 2002

CASE SUMMARY: Claimant alleged that respondent misrepresented information regarding shares held in his account and his ability to make trades. Claimant maintained that due to respondent's actions, the account suffered losses.

Claim Data

Claim: \$24,999.00
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Attorney Fees: \$.00
Filing Fees: \$425.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondents' Motion to Strike Claimant's Response to Respondent's Answer was denied by the Arbitrator.

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Award 02-04806

Martin Fogelman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Martin Fogelman, Esq., 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.


Martin Fogelman, Esq.

2/11/03
Signature Date

February 14, 2003
Date of Service (For NASD-DR office use only)