

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-04858

Robert D. Walter & Karrie L. Walter JT TEN, claimants vs. Charles Schwab & Company, respondent.

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**ATTORNEYS:**

Claimants appeared pro se, through Robert D. Walter, Redding, CA.

For Respondent appeared in-house counsel, Steve Murphy, Esq., San Francisco, CA.

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DATE FILED: August 19, 2002

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**CASE SUMMARY:** Claimants alleged that respondent executed transactions on their account without claimants' approval. Claimants further alleged that respondent failed to correct the erroneous transactions. Claimants maintained that due to respondent's actions, the account suffered losses.

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**Claim Data**

Claim: \$2,500.00  
Punitive: \$2,500.00  
Filing Fees: \$.00  
Other: Unspecified

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Filing Fees: \$87.50  
Other: \$.00

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**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 claimants are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the claimants, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay claimant \$87.50 as reimbursement of one-half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Nelson Olf

Sole Public Arbitrator

AFFIRMATION

I, Nelson Olf, 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.

Nelson Olf  
Nelson Olf

Feb 8 2005  
Signature Date

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