

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

CASE: 02-07450

Eugene H. Axelrod, Claimant vs. Charles Schwab & Co., Inc., Respondent.

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**ATTORNEYS:**

Claimant, Eugene H. Axelrod ("Claimant") appeared Pro Se., Plymouth, MI

Respondent, Charles Schwab & Co., Inc., ("Respondent") appeared through its in-house counsel, Brandon K. Hemley, Esq., San Francisco, CA.

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**DATE FILED:** December 10, 2002

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**CASE SUMMARY:** Claimant alleged that he requested that Respondent transfer funds from his account to a Classic IRA account with TIAA-CREF. Claimant maintained that because of Respondent delay in transferring his funds, he suffered financial losses.

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**Claim Data**

Claim: \$845.87  
Filing Fees: \$75.00  
Other: unspecified

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**Award Data**

Award: \$721.93  
Filing Fees: \$50.00  
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: 2) Respondent is liable and shall pay to the Claimant \$721.93. 2) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Respondent is liable and shall pay claimant \$50.00 as reimbursement 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 \$150.00 Member Surcharge previously invoiced.

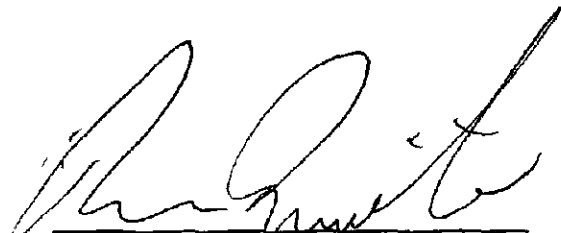
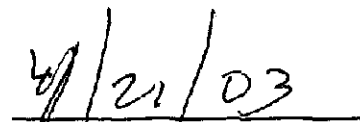
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Award 02-07450

Norman Bristol, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Norman Bristol, 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.

  
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Norman Bristol, Esq.  
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Signature Date

May 1, 2003  
Date of Service (For NASD-DR office use only)