

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-02862

Ronald A. Misrach, Claimant vs. Charles Schwab & Co. Inc., and Randy Givens, Respondents.

ATTORNEYS:

Claimant, Ronald A. Misrach, ("Claimant"), appeared pro se, Van Nuys, CA.

Respondents, Charles Schwab & Co. Inc., and Randy Givens, (collectively "Respondents"), appeared through their in-house counsel, Garrett R. Wynne, Esq., San Francisco, CA.

DATE FILED: April 17, 2003

CASE SUMMARY: Claimant alleged that Respondents over-charged him Short Term Redemption fees when he liquidated his Schwab S&P 500 fund position. Claimant maintained that due to Respondents' actions, he suffered financial losses.

Claim Data

Claim: \$1,376.44
Filing Fees: \$75.00
Other: Unspecified

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) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

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

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Award 03-02862

Paul R. Meyer

Sole Public Arbitrator

AFFIRMATION

I, Paul R. 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.

Paul R. Meyer
Paul R. Meyer

Oct 7, 2003
Signature Date

October 15, 2003
Date of Service (For NASD-DR office use only)