

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

CASE: 03-04742

Paul Joseph Sagel, Claimant v. Charles Schwab & Co., Inc., Respondent.

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**ATTORNEYS:**

Claimant appeared pro se, Maineville, OH.

For Respondent appeared in-house counsel Geoffrey Moore, Esq., San Francisco, CA.

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**NATURE OF CLAIM:** Customer v. Member Firm

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**DATE FILED:** June 30, 2003

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**CASE SUMMARY:** Claimant alleged that Respondent failed to execute an order to sell two thousand (2000) shares of an equity travel fund, QQQ. Claimant maintains that due to Respondent's actions his IRA Rollover account suffered financial losses.

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**Claim Data**

Claim: \$1,240.00  
Interest: \$669.60  
Punitive: \$2,480.00  
Filing Fee: \$175.00  
Other: Unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
Punitive: \$.00  
Filing Fee: \$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 Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant shall be retained by NASD Dispute Resolution. 6) Respondent is liable for and shall pay to Claimant \$87.50 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 \$200.00 Member Surcharge previously invoiced.

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Benjamin B. Segel, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Benjamin B. Segel, 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.

  
Benjamin B. Segel, Esq.

10/21/03  
Signature Date

November 3, 2003

Date of Service (For NASD-DR office use only)