

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01218

Henry Hannen Liu, Claimant v. Charles Schwab & Co., Respondent

ATTORNEYS:

Claimant Henry Hannen Liu ("Claimant") appeared *pro se*, Redwood City, CA.

For Respondent Charles Schwab & Co. ("Respondent") appeared Richard A. Karoly, Esq., Charles Schwab & Co., San Francisco, CA.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: February 24, 2004.

CASE SUMMARY: Claimant alleged that Respondent was negligent and failed to execute a sell short order of 8551 shares of SEPR. Claimant maintained that due to Respondent's actions, his account suffered losses. Claimant's claim involved common stock SEPR.

ARBITRATOR'S REPORT: Charles Schwab acted within NASD Rules and within the existing contract between Schwab and Mr. Liu. Therefore, the case is dismissed in its entirety.

Claim Data

Claim: \$5,000.00
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Attorney Fees: \$.00
Filing Fees: \$87.50
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. 5) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$87.50 as reimbursement of one-half of the filing fee.

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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Award 04-01218

Laurie E. Law, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Laurie E. Law, 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.

Laurie E. Law

Laurie E. Law, Esq.

October 12, 2004

Signature Date

October 21, 2004

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