

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01896

Craig Stephen Comeaux and Catherine Searcy Comeaux, (Claimants) vs. Charles Schwab & Co., Inc., (Respondent)

ATTORNEYS:

Claimants appeared pro se, San Antonio, TX.

For Respondent appeared in-house counsel Sean B. Meehan, Esq., San Francisco, CA.

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: April 6, 2005

CASE SUMMARY: Claimants alleged that Respondent breached the contract and its fiduciary duty. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved common stock and options.

Claim Data

Claim: \$14,760.00
Punitive: \$8,000.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.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 Claimants are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Page Two
Award 05-01896

John K. Boyce, III, Esq.

Sole Public Arbitrator

AFFIRMATION

I, John K. Boyce, III, 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.


John K. Boyce, III, Esq.


(Signature Date)

August 17, 2005


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