

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-03002

Steven J. and Dixie L. Loser, (Claimants) vs. Charles Schwab & Co., Inc., (Respondent)

ATTORNEYS:

Claimants appeared pro se, York, PA.

For Respondent appeared in-house counsel Katherine Nathan, Esq., San Francisco, CA.

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: June 7, 2005

CASE SUMMARY: Claimants alleged that Respondent improperly executed a Stop-Limit order. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved various common stock.

Claim Data

Claim: \$2,000.00

Interest: \$.00

Filing Fees: \$100.00

Award Data

Award: \$754.00

Interest: granted at the rate of 6% per annum from 5/3/05-date of payment of award.

Filing Fees: \$75.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimants \$754.00. 2) Respondent is liable and shall pay to the Claimants interest at the rate of 6% per annum from May 3, 2005 until the date of payment of the award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimants deposited previously. 5) Respondent is liable and shall pay Claimants \$75.00 as reimbursement of the filing fee.

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

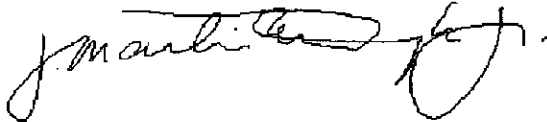
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Award 05-03002

J. Martin McDonough, Jr., Esq.

- Sole Public Arbitrator

AFFIRMATION

I, J. Martin McDonough, Jr., 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.



J. Martin McDonough, Jr., Esq. '

10 October, 2005
(Signature Date)

OCTOBER 11, 2005
Date of Service (For NASD-DR office use only)