

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

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CASE: 05-04754

Joseph H. Kenworthy, (Claimant) vs. Charles Schwab & Co., Inc., (Respondent)

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**ATTORNEYS:**

Claimant appeared pro se, Santa Barbara, CA.

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

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** September 7, 2005

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**CASE SUMMARY:** Claimant alleged that Respondent omitted facts regarding investments. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various common stock.

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**Claim Data**

Claim: \$5,000.00

Non-Monetary Relief: 192.932 shares of Valero

**Award Data**

Award: \$.00

Non-Monetary Relief: Denied

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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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the claimant deposited previously.

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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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Award 05-04754

Susan B. Gans-Smith, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Susan B. Gans-Smith, 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.



Susan B. Gans-Smith, Esq.

2-3-2006  
(Signature Date)

**February 15, 2006**

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