

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-00397

Adrian Havelka, (Claimant) vs. Robert Hadden and Charles Schwab & Co., Inc.,
(Respondents)

ATTORNEYS:

For Claimant appeared Romaine L. Gardner, Esq., of the firms Lincoln Square Legal Services, Inc. and Fordham University School of Law, New York, NY.

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

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: January 25, 2006

CASE SUMMARY: Claimant alleged that Respondents placed him in investments that were unsuitable for his needs, breached their contract and failed to supervise. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved mutual funds.

Claim Data

Claim: \$21,213.47
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: \$.00

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50

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 requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondents are jointly and severally liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee. 7) Respondent Robert Hadden's request for expungement is denied.

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

Richard W. Epstein, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard W. Epstein, 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.



Richard W. Epstein, Esq.

September 1, 2006
(Signature Date)

September 8, 2006

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