

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

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CASE: 06-01987

William R. Kisker, (Claimant) vs. Charles Schwab & Co., Inc., (Respondent)

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**ATTORNEYS:**

For Claimant appeared Robert E. Turtz, Esq., Edgewater, NJ.

For Respondent appeared in-house counsel Brandon K. Hemley, Esq., San Francisco, CA.

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

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**DATE FILED:** April 18, 2006

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**CASE SUMMARY:** Claimant alleged that Respondent failed to execute proper care and was negligent in the handling of his account. Claimant further alleged breach of contract, misrepresentation and suitability. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved common stock.

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**ARBITRATOR'S REPORT:** Claimant suffered no damages as a result of Respondent's admitted error. Respondent explained this to Claimant, in writing, yet Claimant brought this case.

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**Claim Data**

Claim: \$12,000.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified

**Award Data**

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

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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 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.

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

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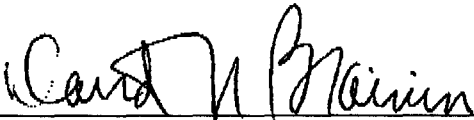
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Award 06-01987

David N. Brainin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, David N. Brainin, 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.

  
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David N. Brainin, Esq.

10/5/06  
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(Signature Date)

October 6, 2006  
\_\_\_\_\_  
Date of Service (For NASD-DR office use only)