

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Charles Schwab & Co., Inc.

vs.

Claimant(s)

William J. Van Orden

Respondent(s)

NOTICE OF
AWARD
88-03290

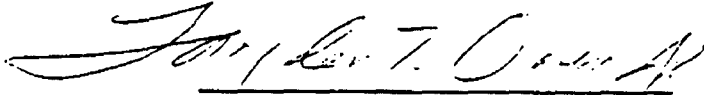
The undersigned, having been selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the parties on Claimant on October 14, 1988 and by the Respondent pursuant to Section 12(a) of the NASD, Inc. Code of Arbitration Procedure by signing the Margin and Short Account Agreement on December 3, 1983 and by responding to the pleadings in this matter the Respondent has, by his actions, submitted himself to the jurisdiction of the NASD Code of Arbitration Department;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondent is liable and shall pay to the Claimant the sum of Six Thousand Twenty Three Dollars and Seventy-Six Cents (\$6,023.76);

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$700.00 filing fees previously deposited with the NASD, Inc. by the Claimant are added to the amount of the award and will be refunded to the Claimant by the Respondent.

March 27, 1989


Langdon T. Owen, Esq.

STATE OF _____ ss.:
COUNTY OF _____

On this _____ day of _____, 19____, before me personally appeared Langdon T. Owen, Esq., to me known and known before me to be the individual described in and who executed the foregoing instrument and he duly acknowledged to me that he executed the same.

My Commission expires: