

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Charles Schwab & Co., Inc.

Claimant(s)

vs.

Christopher Judson a/k/a
Christopher LeMoine and
Catherine Judson

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00189

CASE SUMMARY

Claimant(s) Charles Schwab & Co., Inc. alleged that Respondent(s) Christopher Judson a/k/a Christopher LeMoine and Catherine Judson have not paid Claimant for debit balance in Respondent's account. Respondent(s) have not answered Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Charles Schwab & Co., Inc. requested damages of Three Thousand Four Hundred Seventy Six Dollars and Fifty Cents (\$3,476.50).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Richard C. Moenning, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on January 12, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The Respondent shall be liable to the Claimant for the amount of Three Thousand Four Hundred Seventy Six Dollars and Fifty Cents (\$3,476.50), plus eight (8) per cent interest from October 6, 1986 to the date of this award.

The parties shall each bear their respective costs including attorney's fees.