

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between  
Charles Schwab & Co., Inc.

vs.

James T. Puglisi

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
89-00302

CASE SUMMARY

Claimant(s) Charles Schwab & Co., Inc. alleged that Respondent(s) James T. Puglisi has an unpaid balance on his account with Claimant. Respondent(s) did not respond.

RELIEF REQUESTED

Claimant(s) Charles Schwab & Co., Inc. requested damages of Two Thousand Eight Hundred Eleven Dollars and No Cents (\$2,811.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Ronee C. McLaughlin, 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 23, 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:

That the Respondent is liable and will pay to the Claimant the sum of Two Thousand Eight Hundred Eleven Dollars and No Cents (\$2,811.00).

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

The \$600.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

October 23, 1989