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In the Matter of the Arbitration Between	:	
	:	
Charles Schwab & Co., Inc.	:	OATH AND
	:	AWARD OF
	:	ARBITRATOR
	:	
	:	89-01506
	:	
vs.	:	
	:	
	:	
Yi H. and Jin O. Kim	:	
	:	
	:	
Respondents	:	

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- I am not an employer of, employed by or related by blood or marriage to any of the parties or witnesses whose names have been disclosed to me, and

- I know of no existing or past financial, business, professional, family or social relationship which would impair me from performing my duties, and

### CASE SUMMARY

Claimant(s) Charles Schwab & Co., Inc. alleged that Respondent(s) Yi H. and Jin O. Kim have a debit balance with Claimant which is owed and past due. Respondent(s) did not respond.

**RELIEF REQUESTED**

Claimant(s) Charles Schwab & Co., Inc. requested damages of Six Thousand Six Hundred Thirty Six Dollars and Eighty-Seven Cents (\$6,636.87).

The undersigned being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant(s) and Respondent(s), set forth in a submission to Arbitration signed by the Claimant on May 17, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

And, that having reviewed and considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined that in full and final settlement of the above-captioned matter,

Note: Fill out only those sections which apply to this particular case: Case Number 89-01506

- 1) Case Dismissed \_\_\_\_\_
- 2) Find for the Claimant  
(a) total amount of the award: \$ 10,544.16  
(b) if two or more respondents are liable: yes \_\_\_\_\_ no \_\_\_\_\_  
    (1) joint and severally liable: yes \_\_\_\_\_ no \_\_\_\_\_  
    (2) if respondents separately liable list party and the amounts: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 3) Counterclaim of Respondent *N/A*  
(a) total amount of award: \$ \_\_\_\_\_  
(b) party to receive award: \_\_\_\_\_  
(c) counterclaim dismissed: \_\_\_\_\_
- 4) Punitive Damages *N/A*  
(a) total amount \$ \_\_\_\_\_  
(b) name parties against whom damages are to be assessed and in what amounts: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- (c) claim dismissed: \_\_\_\_\_
- 5) NASD Fee  
(a) assessed against Claimant  
(b) assessed against Respondent X
- 6) Use this space to expand or clarify any part of the decision above or to indicate other forms of specific relief.

Affirmation

STATE OF District of Columbia } SS:  
COUNTY OF District of Columbia }

I, Peter E. Wallace, Jr., do hereby affirm upon my oath as arbitrator that I am the individual described in and who executed this instrument, which is my oath and award.

Jan. 5, 1990  
(DATE)

Peter E. Wallace Jr  
(SIGNATURE OF ARBITRATOR)