

**N.A.S.D. REGULATION AWARD**  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE:97-06032

Norman C. Charles MD,PC Pension Plan, claimant vs. Charles Schwab & Co., Inc., respondent.

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**ATTORNEYS:**

For claimant appeared Norman C. Charles - New York, NY.

For Respondent appeared Sean Meehan, Esq. - San Francisco, CA.

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**DATE FILED:** 12/29/97

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**CASE SUMMARY:** Claimant alleged failure to deposit in mutual fund as directed.

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**Claim Data**

Claim: \$3,346.92  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**


Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$125.00  
Other: \$.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 claimant are dismissed in their entirety. 2) All other relief requests are denied. The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$125.00 as reimbursement of the filing fee.

**AFFIRMATION**

I, Joseph B. Russell, Esq., do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

  
Joseph B. Russell, Esq.

May 13, 1998

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Date of Award