

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

CASE: 99-00664

Charles Schwab & Co., Inc., claimant vs. Douglas M. Ingersoll, respondent.

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**ATTORNEYS:**

For Claimant, Charles Schwab & Co., Inc., appeared Linda A. Gallagher, Esq. and Stephen S. Berkley, Esq., of the firm Gomberg Kane & Fischer, Ltd., Chicago, IL.

Respondent, Douglas M. Ingersoll, appeared Pro Se., Tampa, FL.

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DATE FILED: 02/16/99

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CASE SUMMARY: Claimant alleged failure to meet margin maintenance requirements and subsequent liquidation in April 1998.

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**Claim Data**

Claim: \$21,279.36

Filing Fees: \$575.00

Costs: \$1,089.48

Interest from May 1998  
through January 27, 1999: \$1,453.05

Interest from January 28, 1999  
through September 16 @ 8.25%: \$1,192.48

Interest: @ rate of 8.25% per annum  
from September 16, 1999 to  
date of payment of award

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**Award Data**

Award: \$21,279.36

Filing Fees: \$575.00

Costs: \$1,089.48

Interest from May 1998  
through January 27, 1999: \$1,453.05

Interest from January 28, 1999  
through September 16 @ 8.25%: \$1,192.48

Interest @ rate of 8.25 per annum  
from September 16, 1999 per annum  
to date of payment of award

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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: Respondent is liable and shall pay to the claimant \$21,279.36. 2) The \$575.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondent is liable and shall pay claimant \$575.00 as reimbursement of the filing fee. 4) Respondent is liable and shall pay to claimant interest: a) \$1,453.05 - May 1998 through January 27, 1999 b) \$1,192.48, January 28, 1999 through September 16, 1999 at a rate of 8.25% c) at the rate 8.25% per annum from September 16, 1999 to date of payment of award.

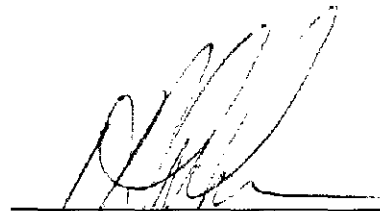
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OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

**AFFIRMATION**

I, Horace A. Andrews, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.

  
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Horace A. Andrews

November 9, 1999

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Date of award