

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

CASE: 99-01237

Todd W. and Carolyn P. Bayer, claimants vs. Charles Schwab & Co., Inc., respondent.

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**ATTORNEYS:**

Claimants Todd W. and Carolyn P. Bayer appeared Pro Se., Moreland Hills, OH.

Respondent appeared through in-house counsel, Sean B. Meehan, Esq., San Francisco, CA.

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DATE FILED: 03/16/99

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CASE SUMMARY: Claimant alleged failure to execute a sell order for shares of Barnes & Noble (BKS).

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**Claim Data**

Claim: \$5,000.00

Filing Fee: \$.00

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**Award Data**

Award: \$.00

Filing Fee: \$62.50

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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) 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. 3) Respondent is assessed one half of the NASD filing fee and shall pay claimant \$62.50 as partial reimbursement of the filing fee.

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OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.