

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION INC.

CASE: 99-01516

John Edward Grillo, II, claimant vs. Charles Schwab & Co., Inc., Stacey Brandenburg & Jeff Meyers, respondents.

ATTORNEYS:

Claimant, John Edward Grillo, II, appeared Pro Se., Eighty Four, PA.

For Respondents, Charles Schwab & Co., Inc., Stacey Brandenburg and Jeff Meyers, appeared in-house counsel, Mauricio S. Beugelman, Esq., San Francisco, CA.

DATE FILED: March 6, 1999

CASE SUMMARY: Claimant alleged that Respondents allowed the purchase of shares of JB Oxford stock, a non-marginable security in his margin account which resulted in a margin call. Claimant further alleged that respondents sold his stock prior to the date they agreed he should satisfy the margin call.

Claim Data

Claim: \$20,306.25
Other: Unspecified

Award Data

Award: \$.00
Other: \$.00

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 arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Stacey Brandenburg and Jeff Meyers registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Stacey Brandenburg and Jeff Meyers must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with the NASD Disute Resolution Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

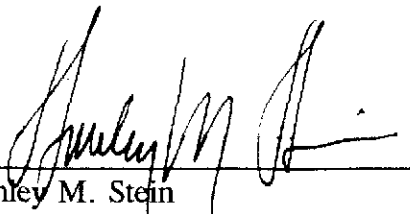
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Charles Schwab & Co., Inc. has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: The arbitrator granted the motion to dismiss submitted by respondents Stacey Brandenburg and Jeff Meyers.

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AFFIRMATION

I, Stanley M. Stein, 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.



Stanley M. Stein

August 29, 2000
Date of award