

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

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CASE: 99-02139

Charles Schwab & Co., Inc., claimant vs. Hai Victor Do, respondent.

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**ATTORNEYS:**

For Claimant appeared in-house counsel members, Richard A. Karoly, Esq. and Mauricio S. Beugelmans, Esq., San Francisco, CA.

Respondent appeared Pro Se., Lafayette, LA.

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DATE FILED: 05/10/1999

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**CASE SUMMARY:** Claimant maintained that on or about November 30, 1998 unsolicited purchases of shares of ONSL were executed by Claimant in the Respondent's account pursuant to Respondent's instructions. Claimant alleged that Respondent failed to tender payment for the purchase of the ONSL positions by the settlement date of December 3, 1998. Claimant further maintained that after liquidating respondent's account to cover executed purchases respondent incurred a due and owing balance in Respondent's account.

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**Claim Data**

Claim: \$18,545.43  
Atty Fees: unspecified  
Interest: on principle at rate of 8.25 %  
per annum from January 1, 1999 to Present

Other: unspecified  
Filing Fees: \$.00  
Costs: unspecified

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**Award Data**

Award: \$18,545.43  
Atty Fees: \$.00  
Interest: at the rate of 5.0% per annum  
from January 1, 1999 until award is  
paid  
Other: \$.00  
Filing Fees: \$997.50  
Costs: \$.00

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**Counterclaim Data**

Claim: \$9,800.00  
Other: unspecified

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**Counterclaim Award Data**

Award: \$.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) Respondent is liable and shall pay to the claimant \$18,545.43. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay to claimant interest on the principle at the rate of 5.9% per annum from January 1, 1999 until the award is paid in full. 4) All other relief requests are denied. 5) The \$1,050.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 6) Respondent is liable and shall pay claimant \$997.50 as reimbursement of the filing fee. 7) The claims of the respondent have been dismissed in their entirety. 8) The \$325.00 counterclaim filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the respondent, shall be retained by NASD Regulation, Inc.

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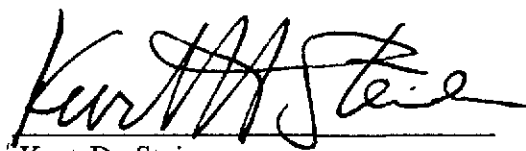
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OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, Kurt D. Steiner, 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.

  
Kurt D. Steiner

January 12, 2000  
Date of award