

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-00005

Betty P. Damsker, claimant vs. A.G. Edwards & Sons, Inc., respondent.

ATTORNEYS:

For Claimant appeared Norman A. Rotenberg, St. Petersburg, FL.

For Respondent appeared Michael Naccarato, in house counsel, St. Louis, MO.

DATE FILED: January 2, 2001

CASE SUMMARY: Claimant alleged respondent failed to execute trades in accordance with her wishes.

Claim Data

Claim: \$2,625.00
Punitive: \$12,625.00
Interest: unspecified
Filing Fees: unspecified

Award Data

Award: \$1,600.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$425.00

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 \$1,600.00. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee which is included in the total amount of award.

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

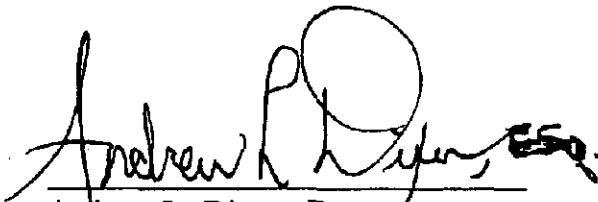
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Award 01-00005

Andrew L. Dixon, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Andrew L. Dixon, Esq., 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.

A handwritten signature in cursive script, reading "Andrew L. Dixon, Esq.", written over a horizontal line.

Andrew L. Dixon, Esq.

12/26/01
Signature Date

January 11, 2002

Date of Service (For NASD-DR office use only)