

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01035

Gene Wm. Gonia and Sandra Hammond Gonia, claimants vs. A.G. Edwards and Sons, Inc. and Brian Harris, respondents.

ATTORNEYS:

For Claimants appeared Robert Carney, DR, La Crosse, WI.

For Respondents appeared Clay L. Grumke, Esq., in-house counsel, St. Louis, MO.

DATE FILED: March 1, 2001

CASE SUMMARY: Claimant alleged that respondents advised them to purchase stock that was unsuitable for their investment needs, failed to properly manage their account, and provided incorrect information for tax purposes. Claimants maintained that due to these unsuitable investments, claimants' account experienced losses.

Claim Data

Claim: \$2,500.00
Filing Fees: \$.00
Other: \$2,500.00

Award Data

Award: \$.00
Filing Fees: \$.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 claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimants, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent A. G. Edwards & Sons, Inc. has not paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.


Page Two
Award 01-01035

Douglas G. Plank

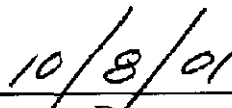
Sole Public Arbitrator

AFFIRMATION

I, Douglas G. Plank, 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.



Douglas G. Plank



Signature Date

October 29, 2001
Date of Service (For NASD-DR office use only)