

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01962

Henry J. Bieniecki, claimant vs. A.G. Edwards & Sons, Inc. and Scott Steven Moore, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Edwardsville, IL.

For Respondents appeared Michael Naccarato, Esq., in-house counsel, St. Louis, MO.

DATE FILED: April 18, 2001

CASE SUMMARY: Claimant alleged that respondent failed to properly execute a sell order of BAC stock thereby causing a loss to his account.

Claim Data

Claim: \$9,537.59
Filing Fees: \$0.00

Award Data

Award: \$8,721.00
Filing Fees: \$325.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$8,721.00. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent A. G. Edwards & Sons, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 01-01962

Arthur Medow, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Arthur Medow, 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.

Arthur Medow
Arthur Medow, Esq.

Nov. 19, 2001
Signature Date

December 3, 2001
Date of Service (For NASD-DR office use only)