

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE 01-03148

William F. Reichenbach and Joan Reichenbach, Claimant vs. A.G. Edwards & Sons, Inc.,  
Respondent.

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**ATTORNEYS:**

Claimants appeared Pro Se., Essex, CT.

Respondent appeared through its in-house counsel Matthew R. Salamon, Esq., St. Louis, MO.

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DATE FILED: June 14, 2001

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**CASE SUMMARY:** Claimants alleged that Respondent was negligent in the management of their account. Claimants further alleged that they were charged excessive commission on bond transactions. Claimants maintained that as a result of Respondent's actions, they suffered financial losses.

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**Claim Data**

Claim: \$24,351.00  
Interest: unspecified  
Filing Fees: \$425.00  
Other: unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$.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) The claims of Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimants, shall be retained by NASD Dispute Resolution, Inc.

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

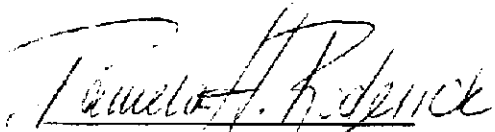
Page Two  
Award 01-03148

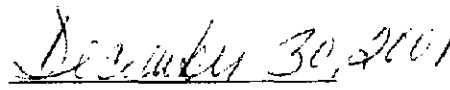
Pamela Roderick

Sole Public Arbitrator

**AFFIRMATION**

I, Pamela H. Roderick, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

  
Pamela H. Roderick

  
Signature Date

(Signature Date)

January 9, 2002  
Date of Service (For NASD-DR office use only)