

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05035

Chere Moore, IRA, claimant vs. A. G. Edwards & Sons, Inc. and Samuel E. Gisser, respondents.

ATTORNEYS:

Claimant appeared pro se, Bakersfield, CA.

For Respondents appeared in-house counsel Nuviah Shirazi, Esq., St. Louis, MO.

DATE FILED: August 27, 2002

CASE SUMMARY: Claimant alleged that respondents misrepresented facts regarding her account and placed her into investments that were unsuitable for her needs. Claimant's claim involved a Sun Life Annuity and American Legacy Annuity. Claimant maintained that because of respondents' actions, her account suffered a loss.

ARBITRATOR'S REPORT: Claimant is entitled to damages equal to the surrender charges on this account for the American Legacy Annuity only. The amount shown for surrender charges as of June 28, 2002 was \$7,878.08. All other claims of claimant are denied.

Claim Data

Claim: \$25,000.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$7,878.08
Filing Fees: \$425.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$7,878.08. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly and severally liable and shall pay claimant \$425.00 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 the \$425.00 Member Surcharge previously invoiced.

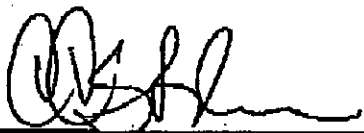
Page Two
Award 02-05035

Christopher C. S. Blattner, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Christopher C. S. Blattner, 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.



Christopher C. S. Blattner, Esq.

5-8-03
Signature Date

May 13, 2003
Date of Service (For NASD-DR office use only)