

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 03-05315

William and Judith Rebholz, Claimants v. A.G. Edwards & Sons, Inc. and Christine J. Stoverink, Respondent.

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**ATTORNEYS:**

Claimants, William and Judith Rebholz, ("Claimants"), appeared pro se, Waterloo, IL.

For Respondents, A.G. Edwards & Sons, Inc. and Christine J. Stoverink, ("Respondents"), appeared James C. Browning, Esq., Jr., St. Louis, MO.

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**NATURE OF DISPUTE:** Customers v. Member and Associated Person

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**DATE FILED:** July 21, 2003

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**CASE SUMMARY:** Claimants alleged that Respondents failed to execute a "Full In-Kind" transfer per their request and instead incorrectly liquidated their three joint accounts. Claimants' claim involved common stock. Claimants' maintained that due to Respondents' actions, their accounts suffered financial losses.

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**Claim Data**

Claim: \$21,079.72  
Filing Fees: \$425.00  
Other: Unspecified

**Award Data**

Award: \$2,000.00  
Filing Fees: \$212.50  
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 against Respondent Christine Stovernick are dismissed in their entirety. 2) Respondent A.G. Edwards & Sons, Inc. is liable and shall pay to the Claimants \$2,000.00. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously. 5) Respondent A.G. Edwards & Sons, Inc. is liable for and shall pay to the Claimants \$212.50 as reimbursement of one half of the filing fee.

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**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.

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Michael Nathanson, CPA

Sole Public Arbitrator

**AFFIRMATION**

I, Michael Nathanson, CPA, 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.

Michael Nathanson  
Michael Nathanson, CPA

7 DEC 2003  
Signature Date

December 19, 2003  
Date of Service (For NASD-DR office use only)