

NASD DISPUTE RESOLUTION AWARD  
NASD DISPUTE RESOLUTION

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CASE: 04-03739

Joseph T. Tannos and Mary Frances Tannos Claimants v. A. G. Edwards & Sons, Inc., and R. L. "Skip" Rozelle, Sr., Respondents.

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ATTORNEYS:

Claimants, Joseph T. Tannos and Mary Frances Tannos, ("Claimants") appeared pro se, League City, TX.

Respondent, A. G. Edwards & Sons, Inc., and R. L. "Skip" Rozelle, Sr., (collectively "Respondents") appeared through their in-house counsel, Stephen G. Sneeringer, Esq., St. Louis, MO.

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NATURE OF DISPUTE: Customers vs. Member.

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DATE FILED: May 25, 2004.

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CASE SUMMARY: Claimants alleged that the aggressive investment into which they were placed was not suitable to their investment objectives of conservative growth. Claimants contend that Respondent A. G. Edwards & Sons, Inc., was negligent and failed to supervise the actions of its employees regarding recommending and selling securities to customers in view of the customers' ages, investment objectives and tolerance for risk. Claimants' claim involved "Peroni Top 20 Picks".

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Claim Data

Claim: \$6,367.40  
Punitive: Unspecified  
Interest: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

Award Data

Award: \$.00  
Punitive: \$.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 requests for punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimants deposited previously.

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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 \$325.00 Member Surcharge previously invoiced.

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OTHER ISSUES: The Arbitrator denied the request that this matter be expunged from Respondent R. L. "Skip" Rozelle, Sr., CRD record maintained by NASD Central Registration Depository.

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Walton L. Huff - Sole-Public Arbitrator

AFFIRMATION

I, Walton L. Huff, 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.

  
Walton L. Huff

  
Signature Date

October 5, 2004  
Date of Service (For NASD-DR office use only)