

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-04653

A.G. Edwards & Sons, Inc., Claimant v. Thomas James Incorvia, Sr., Respondent

ATTORNEYS:

For Claimant A.G. Edwards & Sons, Inc. ("Claimant") appeared Michael Naccarato, Esq., in-house counsel, A.G. Edwards & Sons, Inc., St. Louis, MO.

Respondent Thomas James Incorvia, Sr. ("Respondent") appeared *pro se*, Houston, TX.

NATURE OF DISPUTE: Member v. Associated Person.

DATE FILED: June 29, 2004.

CASE SUMMARY: Claimant alleged that Respondent breached his contract by failing to repay monies owed for training pursuant to a Supplementary Training Agreement and for failure to repay monies owed regarding Bloomberg to facilitate the pursual of institutional business pursuant to the Bloomberg contract.

Claim Data

Claim: \$17,310.20
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$5,000.00
Attorney Fees: \$.00
Filing Fees: \$525.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$5,000.00 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$525.00 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.


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Award 04-04653

Linda Broocks, Esq.

Sole Non-Public Arbitrator

AFFIRMATION

I, Linda Broocks, 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.


Linda Broocks, Esq.


Signature Date

December 16, 2004
Date of Service (For NASD-DR office use only)