

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-07902

Carolyn Madge Corbin, (Claimant) vs. A.G. Edwards & Sona, Inc., (Respondent)

ATTORNEYS:

For Claimant appeared Richard E. Corrigan, Esq., Mobile, AL.

For Respondent appeared in-house counsel Brent J. Burtin, Esq., St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: November 12, 2004

CASE SUMMARY: Claimant alleged that Respondent sold her investments without her knowledge and authorization. Claimant further alleged breach of fiduciary duty, breach of contract and negligence. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved various mutual funds.

ARBITRATOR'S REPORT: The Statement of Claim fails to aver a factual basis for liability of Respondent.

Claim Data

Claim: \$11,000.00
Punitive: \$10,000.00
Attorney Fees: 5,000.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$0.00
Punitive: \$0.00
Attorney Fees: \$0.00
Filing Fees: \$212.50
Other: \$0.00

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 the Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee.

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

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Clinton W. Shinn

Sole Public Arbitrator

AFFIRMATION

I, Clinton W. Shinn, 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.

Clinton W. Shinn
Clinton W. Shinn

Sept. 16, 2005
(Signature Date)

September 20, 2005
Date of Service (For NASD-DR office use only)