

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08098

Hunter Securities Corp. (Claimant) v. A.G. Edwards & Sons, Inc. (Respondent)

ATTORNEYS:

For Claimant Hunter Securities Corp. ("Claimant") appeared Stephen A. Steglitz, Hunter Securities Corp., Maplewood, NJ.

For Respondent A.G. Edwards & Sons, Inc. ("Respondent") appeared Brent J. Burtin, Esq., in-house counsel, A.G. Edwards & Sons, Inc., St. Louis, MO.

NATURE OF DISPUTE: Member vs. Member.

DATE FILED: November 23, 2004.

CASE SUMMARY: Claimant alleged that Respondent omitted to state material facts with respect to Massachusetts IFA Briscoe Housing Assisted Living bonds causing a loss.

Claim Data

Claim: \$2,832.00
Filing Fees: \$725.00
Other: \$50.00

Award Data

Award: \$0.00
Filing Fees: \$262.50
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 Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$525.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$262.50 as reimbursement of one-half of the filing fee. 5) A telephonic pre-hearing conference was held on March 14, 2005. The forum fees for the pre-hearing conference are \$125.00. Claimant is liable and shall pay NASD one-half of the forum fees, or \$62.50. Respondent is liable and shall pay NASD one-half of the forum fees, or \$62.50.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant and Respondent have each paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondent filed a motion to dismiss. After due consideration, the arbitrator determined to deny the motion.

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Award 04-08098

Vincent P. Sarnatora

Sole Non-Public Arbitrator

AFFIRMATION

I, Vincent P. Sarnatora, 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.



Vincent P. Sarnatora

5/24/05
Signature Date

Date of Service (For NASD-DR office use only)

MATTHEW J. KING
Notary Public State of NY
No. 4632906
West. Co. Exp. March 30, 2006


5/24/05