

**Award**  
**NASD Dispute Resolution**

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In the Matter of the Arbitration Between:  
A.G. Edwards & Sons, Inc., Claimant v. Christopher L. Pope, Respondent

Case Number: 04-08475

Hearing Site: Los Angeles, California

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Nature of the Dispute: Member v. Associated Person

**REPRESENTATION OF PARTIES**

For Claimant:

Nancy A. Tayborn, Esq.  
A.G. Edwards & Sons, Inc.,  
St. Louis, Missouri

For Respondent:

Christopher L. Pope  
In Propria Persona  
Santa Barbara, California

**CASE INFORMATION**

Statement of Claim filed: December 10, 2004

Claimant's Uniform Submission Agreement signed: December 10, 2004

Statement of Answer filed by Respondent: February 4, 2005

Respondent's Uniform Submission Agreement signed: February 4, 2005

**CASE SUMMARY**

Claimant alleged breach of contract.

Respondent denied the allegations of wrongdoing set forth in Claimant's Statement of Claim.

**RELIEF REQUESTED**

Claimant requested \$50,000.00 in compensatory damages, interest at the rate of 10% per annum from August 17, 2004 until date paid, and costs, including attorney's fees.

Respondent requested dismissal of the Claimant's Statement of Claim in its entirety.

**OTHER ISSUES CONSIDERED AND DECIDED**

On October 7, 2005, Claimant moved the Panel to dismiss the Statement of Claim without Prejudice on the grounds that Respondent had left the country. Respondent did not file a response. After due deliberation, the Panel granted the motion.

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

**AWARD**

After considering the pleadings and Claimant's request that it be allowed to dismiss its Statement of Claim without Prejudice, the Panel decided in full and final resolution of the issues submitted for determination as follows:

- 1) Claimant's claims are dismissed without prejudice.
- 2) The parties shall bear their respective costs, including attorney's fees.

### **FEES**

Pursuant to the Code, the following fees are assessed:

#### **Filing Fees**

NASD Dispute Resolution received or will collect the non-refundable filing fees for each claim as follows:

Initial claim filing fee	= \$1,000.00
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#### **Member Fees**

Member fees are assessed to each member firm that is either a party in the matter or an employer of a respondent associated person at the time of the events that gave rise to the dispute, claim, or controversy. Accordingly, the member firm A.G. Edwards & Sons, Inc. is a party and the following fees are assessed:

Member Surcharge	= \$ 875.00
Pre-Hearing Process Fee	= \$ 750.00
<b>Total Member Fees</b>	<b>= \$ 1,625.00</b>

### **Fee Summary**

1. Claimant A.G. Edwards & Sons, Inc. is charged with the following fees and costs:


Initial Filing Fee	= \$ 1,000.00
Member Fees	= \$ 1,625.00
Total Fees	= \$ 2,625.00
Less payments	= \$(3,225.00)
<b>Refund Due from NASD Dispute Resolution</b>	<b>= \$ (600.00)</b>

All balances are payable to NASD Dispute Resolution and are due upon the receipt of the Award pursuant to Rule 10330(g) of the Code.

**ARBITRATION PANEL**

Kenneth I. Rosenblum	-	Non-Public Arbitrator, Presiding Chair
Ronald E. Ogden	-	Non-Public Arbitrator
Dean Schneider	-	Non-Public Arbitrator

**Concurring Arbitrators' Signatures**

  
Kenneth I. Rosenblum  
Chair, Non-Public Arbitrator

7/24/06  
Signature Date

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Ronald E. Ogden  
Non-Public Arbitrator

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Dean Schneider  
Non-Public Arbitrator

\_\_\_\_\_  
Signature Date

7/26/06  
Date of Service

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