

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-02522

James R. Davis, (Claimant) vs. William David Abbott and A.G. Edwards & Sons, Inc.,
(Respondents)

ATTORNEYS:

For Claimant appeared Romaine Gardner, Esq., of Lincoln Square Legal Services, Inc., New York, NY.

For Respondents appeared in-house counsel Nancy Anderson Tayborn, Esq., St. Louis, MO.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: May 11, 2005

CASE SUMMARY: Claimant alleged that Respondents placed him in investments that were unsuitable for his needs. Claimant further alleged failure to supervise. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved unspecified common stock.

Claim Data

Claim: \$9,687.60
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified
Non-monetary relief: Return of securities

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.00
Other: \$.00
Non-monetary relief: denied

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 requests for interest are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, A.G. Edwards & Sons, Inc., has paid to NASD Dispute Resolution the \$00.00 Member Surcharge previously invoiced.

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Award 05-02522

David L. Hoffberg

Sole Public Arbitrator

AFFIRMATION

I, David L. Hoffberg, 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.

David L. Hoffberg

David L. Hoffberg

February 6, 2006

(Signature Date)

February 14, 2006

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