

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-03116

A. John Romanus, (Claimant) vs. A.G. Edwards & Sons, Inc. and Robert F. Fresard,
(Respondents)

ATTORNEYS:

Claimant appeared pro se, Port Charlotte, FL.

For Respondents appeared in-house counsel Sherry Wolk, Esq., St. Louis, MO.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: June 13, 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 financial losses. Claimant's claim involved various common stock.

Claim Data

Claim: \$6,016.02
Punitive: \$18,983.98
Interest: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.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 punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution previously waived the \$425.00 filing fee for the Claimant due to financial hardship. 6) The \$425.00 filing fee shall remain waived.

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

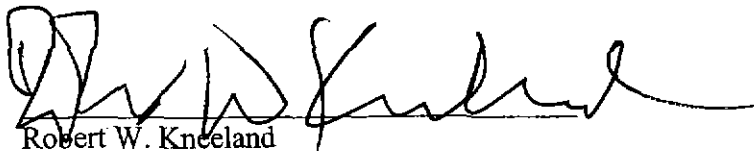
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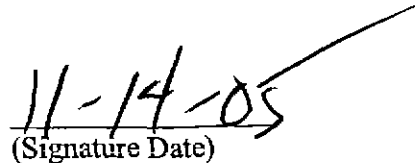
Robert W. Kneeland

Sole Public Arbitrator

AFFIRMATION

I, Robert W. Kneeland, 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.


Robert W. Kneeland


(Signature Date)

NOVEMBER 29, 2005
Date of Service (For NASD-DR office use only)