

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03537

James O. Sturniolo, (Claimant) vs. A.G. Edwards & Sons, Inc. and Gregory Matzelle,
(Respondents)

ATTORNEYS:

Claimant appeared *pro se*, Massapequa, NY.

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

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: July 28, 2006

CASE SUMMARY: Claimant alleged that Respondents placed him in investments that were unsuitable for his needs and misrepresented facts regarding these investments. Claimant further alleged negligence. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved mutual funds.

Claim Data

Claim: \$9,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$162.50

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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 4) Respondent A.G. Edwards & Sons, Inc. is liable and shall pay Claimant \$162.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent A.G. Edwards & Sons, Inc. has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

Page Two
Award 06-03537

Edwin H. Nordlinger, Esq.

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Sole Public Arbitrator

AFFIRMATION

I, Edwin H. Nordlinger, Esq, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.

Edwin H. Nordlinger
Edwin H. Nordlinger, Esq.

1/30/07
(Signature Date)

February 6, 2007
Date of Service (For NASD-DR office use only)