



Financial Industry Regulatory Authority

FINRA DR

In the Matter of Arbitration Between

Case: Kit Waddle and Brenda Waddle v A.G. Edwards & Sons, Inc.

Docket: 06-S010

Attorneys:

For Claimant(s): Timothy Canning - Novato, CA
For Respondent(s): Brent J. Burtin - St. Louis, MO
Daryl S Landy - Palo Alto, CA

Date Filed: 8/8/2006

First Scheduled: 06/05/2007

Decided: 10/11/2007

Case Summary: Public Customer Claimants allege fraud, negligence, breach of contract and breach of fiduciary duty against member firm Respondents in the handling of their IRA rollover account

Product: IRA Annuity

Market: ARCA

Claim:

Claim
Claim: \$194,977.00
Punitive: UNSPECIFIED
Atty Fees: UNSPECIFIED
Deposit: \$750.00

Award:

Award
Award: \$0.00
Punitive: \$0.00
Atty Fees: \$0.00
Costs: \$750.00

Forum Fees: \$3,000.00

Decision: The undersigned arbitrator(s) have decided and determined that in full and final settlement of all claims between the parties that: Claimants' claims be and are hereby dismissed in all respects. NYSE Regulation forum fees, \$3,000.00, are assessed against Respondent. NYSE Regulation costs, \$750.00, for a prehearing conference held June 5, 2007 are assessed against Claimants. Each side shall pay its own attorneys fees.

Remarks:

The undersigned arbitrators hereby affirm that they have executed this instrument which is their award:

Arbitrators: (D = Dissents)

Donald L. Weber

Richard D. Lameier

Robert Economou

Signatures:

City, State: Cincinnati, OH

Date: 10/11/2007

Sessions: 4

Hearing Dates:

10/09/2007, (2)
10/10/2007, (2)