

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-05267

A.G. Edwards & Sons, Inc., claimant v. Michael Whalen, respondent.

ATTORNEYS:

For Claimant

Appeared Norman S. Buckvar, Esq. - St. Louis MO.

Respondent appeared Pro Se - Hingham, MA.

DATE FILED: 11/26/96

CASE SUMMARY: Claimant alleged failure to reimburse for educational expenses pursuant to the Sales Assistant Agreement and Supplementary Training Agreement.

Claim Data

Claim: \$2,032.00 plus interest
from July 16, 1996.

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$535.00 plus interest accruing
at the rate of 9% from the date of the
award.

Punitive: \$.00

Atty Fees: \$.00


Filing Fees: \$.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$535.00 plus interest at the Missouri statutory rate of 9% per annum from the date of the award until paid. 2) All other requests for relief are denied. 3) The \$575.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Peter M. Bizinkauskas, Esq., 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.


Peter M. Bizinkauskas, Esq.

June 25, 1997
Date of award