

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

CASE: 96-05629

Leonard A. DeGrendale, IRA, claimant v. A.G. Edwards & Sons, Inc., Walter Howerton and Jeffrey Sutton, respondents.

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**ATTORNEYS:**

For Claimant

Leonard A. DeGrendale appeared pro se - Tucson, AZ.

For Respondents appeared Phyllis Hartrich, Esq. - St. Louis, MO.

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DATE FILED: 12/19/96.

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CASE SUMMARY: Claimant alleged unsuitability in the purchase of Carrington Labs stock.

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**Claim Data**

Claim: \$8,341.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

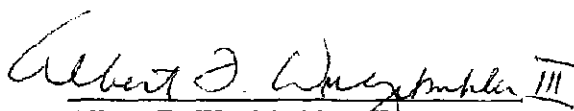
Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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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 claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All other requests for relief are denied. 4) The \$150.00 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, Albert F. Wulfekuhler, III, 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.

  
Albert F. Wulfekuhler, III

June 25, 1997  
Date of award