

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

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CASE: ROGER BRASWELL V. A.G. EDWARDS, INC., & JIM MOTE

DATE FILED: 3/3/95 FIRST SCHEDULED: 8/21 & 22/95 DECIDED: 11/7/96

CASE SUMMARY: Customer v. member IRA account dispute. Claimant alleges
dissatisfaction with investment performance. Respondent
request dismissal of claim.

96-14

Wm B

CLAIMANT'S INITIALS: _____ RESPONDENT'S: _____ THIRD PARTY'S INITIALS: _____

SESSIONS: #1&2

CLAIM AND AWARD DATA:


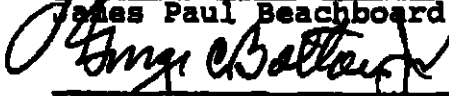

| | | |
|---------------------------|-----------------------|------------------|
| CLAIM: <u>\$56,872.00</u> | 3rd PTY: <u>N/A</u> | AWARD: _____ |
| PUNITIVE: <u>N/A</u> | PUNITIVE: <u>N/A</u> | PUNITIVE: _____ |
| ATTY FEES: <u>N/A</u> | ATTY FEES: <u>N/A</u> | ATTY FEES: _____ |
| DEPOSIT: <u>\$650.00</u> | DEPOSIT: <u>N/A</u> | DEPOSIT: _____ |
| COSTS: _____ | COSTS: _____ | COSTS: _____ |

DECISION: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that:

After considering the pleadings, the testimony, and the evidence presented at the hearing, the undersigned arbitrators have decided in full and final resolution of the issues submitted for determination:

1. All claims of the Claimant, Roger Braswell, against the Respondents, A. G. Edwards & Sons, Inc. and Jim Mote, are denied and dismissed; and
2. The parties shall bear their own costs, including attorneys' fees, except for those specifically enumerated herein; and
3. All relief not specifically granted herein is hereby denied; and
4. The deposit in the amount of \$650.00 previously paid by the Claimant, Roger Braswell, to the American Stock Exchange in connection with this proceeding shall be immediately refunded and paid to the Claimant, Roger Braswell, by the American Stock Exchange; and

5. The Respondent, A. G. Edwards & Sons, Inc., is liable for and shall immediately pay and reimburse to the American Stock Exchange arbitration costs relating to this proceeding in the amount of \$1,150.00.


James Paul Beachboard, Esq., Chairman

George C. Bolton, Arbitrator

Thomas Prince, Esq., Arbitrator

Date: November 7, 1996

0422.001\decision

TORNEY:

Roger Braswell - Claimant - Pro-Se - Henderson, Kentucky.

William S. Port, Esq. - Representing Respondents - A.G. Edwards, Inc.,
St. Louis, Missouri.

ARBITRATORS**

JAMES PAUL BEACHBOARD, ESQ., CHAIRMAN

GEORGE C. BOLTON

THOMAS PRINCE, ESQ.

James Paul Beachboard

SIGNATURE

George C. Bolton

SIGNATURE

Thomas Prince

SIGNATURE

CITY: LITTLE ROCK

STATE: ARKANSAS

DATE: 11/7/96

Additional pages may be attached.
(Dissents)