

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

CASE: 98-00183

Richard Armerding, claimant vs. A.G. Edwards & Sons, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se. - Rohnert Park, CA.

For respondent appeared Norman Buckvar, Esq. - St. Louis, MO.

DATE FILED: 1/14/98

CASE SUMMARY: Claimant alleged failure to execute.

Claim Data

Claim: \$4,145.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$4,000.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

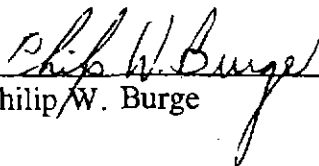
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$4,000.00. 2) All other relief requests are denied. 3) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Philip W. Burge, 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.


Philip W. Burge

July 21, 1998
Date of award