

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-01422

Thomas E. Thurman, claimant vs. A.G. Edwards, Inc. and Steve Mestres, respondents.

ATTORNEYS:

For claimant appeared Roy Hendin, Esq., St. Louis, MO.

For respondents appeared in house counsel, Jeff Jamieson, Esq., St. Louis, MO.

DATE FILED: March 24, 1999

CASE SUMMARY: Claimant alleged negligence with respect to respondents' delay in entering sell orders for eight S&P Cash Index put options on September 1, 1998.

Claim Data

Claim: \$10,874.90
Accountant Fees: unspecified
Atty Fees: unspecified
Filing Fees: unspecified
Interest: unspecified as of 9/1/98

Award Data

Award: \$1,725.00
Accountant Fees: \$675.000
Atty Fees: \$3,594.97
Filing Fees: \$425.00
Interest: \$319.24 (8% per annum
from 9/1/98 - 4/30/99)

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$1,725.00. 2) Respondents are jointly and severally liable and shall pay to claimant \$675.00 in accountant fees, as requested. 3) Respondents are jointly and severally liable and shall pay to claimant attorney fees of \$3,594.97. 4) Respondents are jointly and severally liable and shall pay to claimant interest of \$319.24 (8% per annum from 9/1/98 - 4/30/99). 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondents are jointly and severally liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: 1) Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced. 2) The \$140.00 conference calls cost payable to NASD is assessed among claimant (\$70.00) and respondents (\$70.00).

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AFFIRMATION

I, Phil E. Macy, 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.

Phil E. Macy
Phil E. Macy

August 9, 2000
Date of award