

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

CASE: 99-01733

Jeanne L. Wilson, IRA, claimant vs. Joseph E. Klarberg, respondent.

ATTORNEYS:

Claimant Jeanne L. Wilson, IRA, ("Claimant"), appeared Pro Se., Rochester, New York.

For Respondent Joseph E. Klarberg, ("Respondent"), Nuviah Shirazi, Esq., Litigation Counsel for A.G. Edwards & Sons, Inc., St. Louis, Missouri.

DATE FILED: 04/13/1999

CASE SUMMARY: Claimant maintained that on June 8, 1998, Respondent purchased shares of ICN Pharmaceutical ("ICN") for her IRA account, and within two weeks the stock plummeted. Claimant alleged that ICN was not on Respondent's recommended list and she was not advised of the risk. Additionally, Claimant alleged that she instructed Respondent to sell all her B shares on August 12, 1998, however, the order was not executed until August 14, 1998.

Claim Data

Claim: \$10,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$162.50

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) The \$325.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondent is hereby liable and shall pay claimant \$162.50 as 50% reimbursement of the filing fee.

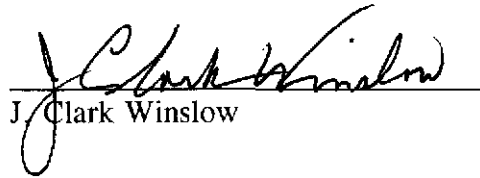
OTHER FEES: Pursuant to Rule 10333 of the Code, A.G. Edwards & Sons, Inc., has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: The arbitrator granted Respondent Klarberg's Motion to Dismiss the Statement of Claim.

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Award 99-01733

AFFIRMATION

I, J. Clark Winslow, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


J. Clark Winslow

January 18, 2000

Date of Award