

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-03368

A.G. Edwards & Sons, Inc., claimant vs. Alan N. Wolf, respondent.

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**ATTORNEYS:**

For Claimant appeared in-house counsel, Norman S. Buckvar, Esq., St. Louis, MO

Respondent Alan N. Wolf appeared Pro Se

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**DATE FILED:** July 23, 1999

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**CASE SUMMARY:** Claimant alleged that respondent failed to reimburse the prorated portion of fees advanced. Claimant further alleged that respondent owes additional monies in connection with an invoice.

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**Claim Data**

Claim: \$3,072.56  
Claim: \$615.04  
Filing Fees: \$.00  
Interest: unspecified  
Costs/Expenses: unspecified

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**Award Data**

Award: \$3,072.56  
Award: \$615.04  
Filing Fees: \$312.50  
Interest: \$.00  
Costs/Expenses: \$.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) Respondent is liable and shall pay to claimant \$3,687.60. 2) All requests for interest are denied. 3) The \$500.00 non-refundable filing fee plus \$125.00 deposit (reduced from \$250.00 because of Amended Relief), previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant shall be retained by NASD Regulation, Inc. 4) Respondent is liable and shall pay claimant \$312.50 as reimbursement for 50% of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, claimant has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, Peter S. Viviano, ~~Esq.~~, 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.



Peter S. Viviano

August 31, 2000

Date of award