

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:99-04564

James J. Gallagher, claimant vs. A.G. Edwards & Sons, Inc., and Colin E. Ciupek, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Hatboro, PA.

For Respondents appeared Michael Naccarato, Esq., in-house counsel, St. Louis, MO.

DATE FILED: October 18, 1999

CASE SUMMARY: Claimant alleged that respondent placed his money in stocks that were unsuitable to his investment objectives thereby creating a loss in his account.

Claim Data

Claim: \$5,000.00
Filing Fees: \$0.00

Award Data

Award: \$0.00
Filing Fees: \$87.50

Admin Data

Claim: \$5,000.00
Filing Fees: \$0.00

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) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents shall pay claimant \$87.50 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent A.G. Edwards & Sons, Inc. has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

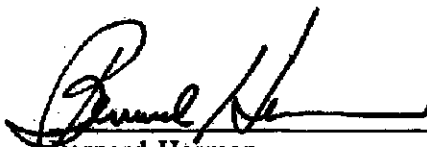
Page Two
Award 99-04564

Bernard Herman

Sole Public Arbitrator

AFFIRMATION

I, Bernard Herman, 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.


Bernard Herman

November 15, 2001
Signature Date

December 3, 2001
Date of Service (For NASD-DR office use only)