

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

CASE: 00-3245

Michael J. Kneib and Belinda S. Kneib, Claimants vs. Ron Golden and Lee Ann Leonard, Respondents.

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**ATTORNEYS:**

Claimants appeared Pro Se., St. Joseph, MO.

Respondents appeared through A. G. Edwards & Sons, Inc. in-house-counsel, Nuviah Shirazi, Esq., St. Louis, MO.

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DATE FILED: July 31, 2000

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**CASE SUMMARY:** Claimant alleged that Respondents were negligent in the handling of their account and failed to correctly execute a trade as requested. Claimants maintained that as a result of Respondents' actions, they suffered a financial loss.

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**Claim Data**

Claim: \$7214.77

Filing Fees: \$325.00

Other: 46.16 shares of Alliance Technology stock to be divided in their account at a cost basis of \$96.50.

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**Award Data**

Award: \$.00

Filing Fees: \$.00

Other: denied

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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) The claims of Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimants, shall be retained by NASD Dispute Resolution, Inc.

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

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**OTHER ISSUE:** Arbitrator's Report: "Arbitrator finds in favor of Respondents, first because Claimants have not shown by a preponderance of the evidence that they did in fact place with Respondents the orders to purchase the securities in question on the dates alleged and, second because Claimants' failure to monitor currently the status of their brokerage accounts between the dates of November 9, 199 and January 19, 2000 and their corresponding failure to make timely objection waived any entitlement of Claimants to complain about any alleged failure to execute buy orders."

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Award 00-03245

Donald B. Clark

Sole Public Arbitrator

**AFFIRMATION**

I, Donald B. Clark, 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.

Donald B. Clark  
Donald B. Clark

06/15/01  
Date of award