

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-03156

Marcia A. Hulbert, Claimant vs. Edward D. Jones & Co., Reva J. Sorber and Christine P. McGirr Respondents.

ATTORNEYS

Claimant, Marcia A. Hulbert, appeared Pro Se, Auburn, Indiana.

Respondents, Edward D. Jones & Co., Reva J. Sorber and Christine P. McGirr, appeared through their in-house counsel, Kimberly G. Anderson, Esq. St. Louis MO.

DATE FILED: June 14, 2001

CASE SUMMARY: Claimant alleged that respondent failed to execute a trade when requested. Claimant maintains that she repeatedly instructed the respondent to sell, and as a result of Respondents' actions, she suffered financial losses.

Claim Data

Claim: \$450.00
Punitive: \$50.00
Other: unspecified

Award Data

Award: \$.00
Punitive: \$.00
Other: \$.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 entirety. 2) All requests for punitive damages are denied. 3) All requests for interest payments are denied. 4) All other relief requests are denied. 5) The \$50.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Edward D. Jones & Co., has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

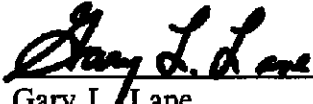
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Award 01-03156

Gary L. Lane

Sole Public Arbitrator

AFFIRMATION

I, Gary L. Lane, 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.



Gary L. Lane

January 29, 2002
Signature Date

February 5, 2002
Date of Service (For NASD-DR office use only)