

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Name of the Claimant

Case Number: 02-05133

Barbara J. Samaj

Name of the Respondent

Hearing Site: Raleigh, North Carolina

Edward D. Jones & Co., L.P.

REPRESENTATION OF PARTIES

Claimant Barbara J. Samaj, hereinafter referred to as "Claimant", was represented by H. C. Kirkhart, Esq., Law Offices of H. C. Kirkhart, Cary, North Carolina.

Respondent Edward D. Jones & Co., L.P., hereinafter referred to as "Respondent", was represented by Wendy M. Schumacher, Esq., Greensfelder, Hemker & Gale, P.C., St. Louis, Missouri.

CASE INFORMATION

Statement of Claim filed on May 20, 2002.

Claimant signed the Uniform Submission Agreement on March 2, 2002.

Respondent's Motion to Dismiss filed on October 31, 2002.

Cynthia Doria, Assistant General Counsel, executed Respondent's Uniform Submission Agreement on September 16, 2002.

CASE SUMMARY

In her Statement of Claim, Claimant alleged that she did not authorize re-registration of CNG or North Pittsburgh stock into another's name; that she never signed any of the stock/powers sent to her from Respondent; that her signature on the election form was forged; that the stocks were transferred without her permission; and, that she did not receive any funds for those stocks.

In its Motion to Dismiss, Respondent denied that the Claimant was a customer of Respondent and denied any wrongful conduct.

RELIEF REQUESTED

Claimant in her Statement of Claim requested compensatory damages in excess of \$15,000.00.

Respondent in its Motion to Dismiss requested that Claimant's claims be dismissed and that all

fees and costs incurred in this matter be assessed against the Claimant.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrator heard oral argument on the Respondent's Motion to Dismiss and gave the Claimant a full opportunity to present her opposition to the Motion to Dismiss.

AWARD

After considering the pleadings and argument of counsel, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. All claims against Respondent are dismissed in their entirety pursuant to NASD Code of Arbitration Procedure Rule 10305 for lack of jurisdiction;
2. The parties shall bear their respective costs, including attorney's fees, except as Fees are specifically addressed below; and,
3. Any and all relief not specifically addressed herein is denied in its entirety.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee = \$ 125.00

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, Respondent is a party.

Member surcharge = \$ 425.00

Forum Fees and Assessments

The Arbitrator has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrator, including a pre-hearing conference with the arbitrator, that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Pre-hearing session with a single arbitrator @ \$450 = \$ 450.00
Pre-hearing conference: May 6, 2003 1 session

Total Forum Fees = \$ 450.00

1. The Arbitrator has assessed \$225 of the forum fees to Claimant.
2. The Arbitrator has assessed \$225 of the forum fees to Respondent.

FEE SUMMARY

1. Claimant is assessed the following fees.:

Initial Filing Fee	= \$ 125.00
Forum Fees	= \$ 225.00
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Total Fees	= \$ 350.00
Less payments	= \$1,750.00
Refund owed Claimant from NASD Dispute Resolution	= \$1,400.00

2. Respondent is assessed the following fees:

Member Fees	= \$ 425.00
Forum Fees	= \$ 225.00
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Total Fees	= \$ 650.00
Less payments	= \$ 425.00
Balance Due NASD Dispute Resolution	= \$ 225.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATOR

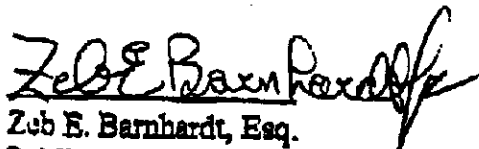
Zeb E. Barnhardt, Jr., Esq.

- Public Arbitrator, Sole Arbitrator

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Arbitrator's Signature



Zeb E. Barnhardt, Esq.

Public Arbitrator, Sole Arbitrator

June 16, 2003

Signature Date

June 17 2003

Date of Service (For NASD Dispute Resolution office use only)