

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06475

Bill W. Carden and Bernice Sousa-Carden, Claimants vs. Edward Jones & Co. and Bill Gray, Respondents.

ATTORNEYS:

Claimants, Bill W. Carden and Bernice Sousa-Carden (collectively "Claimants") appeared pro se., Napa, CA.

For Respondents, Edward Jones & Co. and Bill Gray, (collectively "Respondents") appeared their in-house counsel, Kimberly G. Anderson, Esq., St. Louis, MO.

DATE FILED: October 28, 2002

CASE SUMMARY: Claimants alleged that Respondents misrepresented facts, breached their fiduciary duty and placed them in unsuitable investments in MCI WCOM stocks. Claimants maintained that due to Respondents' actions, they suffered financial losses.

Claim Data

Claim: \$17,410.92
Interest: \$520.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Filing Fees: \$.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 their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Edward Jones & Co., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Christopher C. S. Blattner

Sole Public Arbitrator

AFFIRMATION

I, Christopher C. S. Blattner, 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.



Christopher C. S. Blattner, Esq.

6/23/03
Signature Date

July 3, 2003

Date of Service (For NASD-DR office use only)