

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-07463

Nancy Kanzer, TTEE, U/A dtd 7/3/00 for The Nancy Kanzer Revocable Trust, claimant vs. Edward D. Jones & Co. and Christopher J. Yanson, respondents.

ATTORNEYS:

Claimant appeared pro se, Boca Raton, FL.

For Respondents appeared Bradford B. Lear, Esq., of the firm Greensfelder, Hemker & Gale, P.C., St. Louis, MO.

DATE FILED: December 11, 2002

CASE SUMMARY: Claimant alleged that respondents placed unauthorized trades in her account. Claimant further alleged that respondents failed to reverse the trades as requested. Claimant maintained that because of respondents' actions, her account suffered a loss.

ARBITRATOR'S REPORT: The Claimant has failed to prove by the preponderance of the evidence that the trades in question were not authorized. Filing fees are assessed against Respondent Edward Jones because this action was brought in good faith and Respondent could have possibly avoided this action has it initially been more responsive to the customer's complaint.

Claim Data

Claim: \$16,202.00
Punitive: \$8,798.00
Filing Fees: \$575.00
Other: \$16.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$425.00
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 punitive damages 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. 5) Respondent Edward D. Jones & Co. is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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


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Award 02-07463

Stephen Ebbert Alpern

Sole Public Arbitrator

AFFIRMATION

I, Stephen Ebbert Alpern, 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.



Stephen Ebbert Alpern

04-07-03
Signature Date

April 15, 2003
Date of Service (For NASD-DR office use only)