

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 03-03505

Kathryn A. Jones, Claimant v. Billy J. and Susan G. Owens, Respondents.

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**ATTORNEYS:**

For Claimant, Kathryn A. Jones, ("Claimant"), appeared Brian D. Donnelly, Morristown, NJ.

For Respondents, Billy J. and Susan G. Owens, ("Respondents"), appeared Edward A. McConwell, Esq., Mission, KS.

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**NATURE OF DISPUTE:** Associated Person v. Customers

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**DATE FILED:** May 13, 2003

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**CASE SUMMARY:** Claimant requested an expungement of any reference to Arbitration proceeding NASD-DR Case No. 01-02883 entitled Billy J. Owens and Susan G. Owens as Trustees of the Billy J. Owens Intervivos Trust v. Merrill Lynch, Pierce, Fenner & Smith Inc. and Kathryn A. Jones from her CRD records maintained by the NASD Central Registration Depository.

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**ARBITRATOR'S REPORT:** Please see attached.

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**Claim Data**

Expungement:

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**Award Data**

Award: Granted

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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 arbitrator recommends the expungement of all reference to NASD-DR Arbitration Case No. 01-02883 Billy J. Owens and Susan G. Owens as Trustees of the Billy J. Owens Intervivos Trust v. Merrill Lynch, Pierce, Fenner & Smith, Inc. and Kathryn A. Jones, from Claimant's registration record maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimant Kathryn A. Jones must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the Claimant deposited previously.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Merrill Lynch, Pierce, Fenner & Smith, Inc., the member firm associated with the Claimant at the time of the dispute, has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

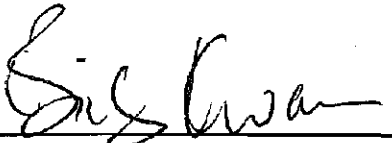
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Billy Kwan

Sole Public Arbitrator

**AFFIRMATION**

I, Billy Kwan, 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.

  
Billy Kwan

  
Signature Date

October 13, 2003  
Date of Service (For NASD-DR office use only)