

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-05096

John W. LeMaster, Claimant v. Edward D. Jones & Co. and David Preston Lindley, Respondents.

ATTORNEYS:

Claimant, John W. LeMaster, ("Claimant"), appeared pro se, Lexington, KY.

For Respondent, Edward D. Jones & Co., ("Edward D. Jones"), appeared Bradford B. Lear, Esq., of the firm Greensfelder, Hemker & Gale, P.C. St. Louis, MO.

Respondent, David Preston Lindley, ("Lindley"), appeared pro se, Paducah, KY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: July 11, 2003

CASE SUMMARY: Claimant alleged that Respondents breached their contract and fiduciary duty, were negligent, and misrepresented facts regarding a bid for municipal bonds. Claimant additionally alleged that Edward D. Jones failed to supervise its representative Lindley. Claimant maintained that due to Respondents' action, he suffered financial losses.

Claim Data

Claim: \$14,916.25
Interest: At the rate of 6% compounded
annually until paid
Filing Fees: \$425.00
Other: unspecified

Award Data

Award: \$.00
Interest: \$.00

Filing Fees: \$212.50
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 the Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondents are jointly and severally liable and shall pay to the Claimant \$212.50 as reimbursement of one-half of the filing fee.

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

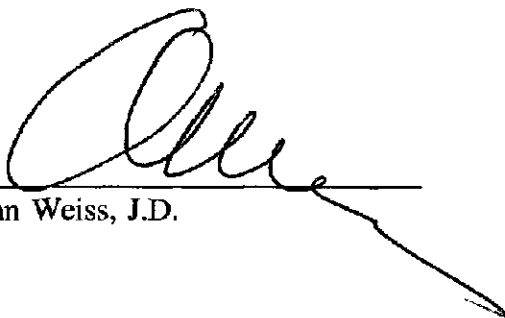
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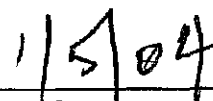
Allan Weiss, J.D.

Sole Public Arbitrator

AFFIRMATION

I, Allan Weiss, J.D., 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.


Allan Weiss, J.D.


Signature Date

January 15, 2004
Date of Service (For NASD-DR office use only)