

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

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CASE: 04-03503

Jeff A. Morton and Jeff A. Morton IRA, Claimants v. Edward D. Jones & Co., and Kevin R. Alm, Respondents

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**ATTORNEYS:**

Claimants Jeff A. Morton and Jeff A. Morton IRA (collectively "Claimants") appeared *pro se* through Jeff A. Morton, Rothsay, MN.

For Respondents Edward D. Jones & Co. and Kevin R. Alm (collectively "Respondents") appeared Kimber L. Monroe, Esq., of the firm Greensfelder, Hemker & Gale, P.C., St. Louis, MO.

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

**DATE FILED:** May 13, 2004.

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**CASE SUMMARY:** Claimants alleged that Respondents misrepresented material facts regarding shares of MCI WorldCom stock and Enron stock. Claimants further alleged that Respondents charged excessive commissions on a mutual fund. Claimants maintained that due to Respondents' actions, the accounts suffered financial losses.

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**Claim Data**

Claim: \$14,966.00  
Attorney Fees: \$75.00  
Filing Fees: \$425.00  
Other: Unspecified

**Award Data**

Award: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$212.50  
Other: \$.00

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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 claims of Claimants are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously. 6) Respondents are jointly and severally liable and shall pay Claimants \$212.50 as reimbursement of one-half of the filing fee.

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**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 04-03503

Emily B. Boote

Sole Public Arbitrator

AFFIRMATION

I, Emily B. Boote, 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.

Emily B. Boote  
Emily B. Boote

12/3/07  
Signature Date

December 16, 2004  
Date of Service (For NASD-DR office use only)