

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

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CASE: 04-07723

John Paukovits (Claimant) v. Joseph Engleby, Lisa M. Porter, and John Ellis (Respondents)

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**ATTORNEYS:**

Claimant John Paukovits ("Claimant") appeared *pro se*, Northampton, PA.

For Respondents Joseph Engleby, Lisa M. Porter, and John Ellis (collectively "Respondents") appeared Kimberly G. Anderson, Esq., in-house counsel, Edward Jones, St. Louis, MO.

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**NATURE OF DISPUTE:** Customer vs. Associated Persons.

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**DATE FILED:** November 5, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondent failed to purchase shares of stock when requested creating a loss in his account. Claimant maintained that due to Respondents' actions, his account suffered losses. Claimant's claim involved shares of Lucent and Agere stocks.

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**Claim Data**

Claim: \$600.00  
Punitive: \$100.00

**Award Data**

Award: \$0.00  
Punitive: \$0.00

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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 Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously.

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**OTHER ISSUES:** The Arbitrator in the above-entitled action reviewed the Respondents' Motion to Dismiss, and it was granted.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Edward D. Jones & Co., Inc., the member firm the Respondents were associated with at the time of the dispute, has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.


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ARBITRATOR  
William Zysk - Sole Public Arbitrator

AFFIRMATION

I, William Zysk, 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.

  
William Zysk

  
Signature Date

April 12, 2005  
Date of Service (For NASD-DR office use only)