

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

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CASE: 05-02604

Debbie Hillis, (Claimant) vs. Edward Jones & Co. and Vern Dale Holifield, (Respondents)

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**ATTORNEYS:**

Claimant appeared pro se, Fort Worth, TX.

For Respondents appeared in-house counsel Kimberly L. Monroe, St. Louis, MO.

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

**DATE FILED:** May 17, 2005

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**CASE SUMMARY:** Claimant alleged that Respondents breached a contract, failed to execute orders to transfer funds and misrepresented facts regarding investments. Claimant further alleged failure to supervise and negligence. Claimant maintained that due to Respondents' actions, she suffered a financial loss. Claimant's claim involved unspecified common stocks.

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**Claim Data**

Claim: \$5,395.25  
Punitive: \$10,790.50  
Interest: Unspecified

Attorney Fees: \$2,400.00  
Filing Fees: \$425.00  
Other: \$2,500.00

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**Award Data**

Award: \$531.30  
Punitive: \$.00  
Interest: granted at the rate of 10% per annum from 10/30/03- date of payment of the award.  
Attorney Fees: \$.00  
Filing Fees: \$425.00  
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) Respondents are jointly and severally liable and shall pay to the Claimant \$531.30. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) Respondents are jointly and severally liable and shall pay to the Claimant interest at the rate of 10% per annum from October 30, 2003 until the date of payment of the award. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondents are jointly and severally liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

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

Joann Peters, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Joann Peters, Esq., 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.

  
Joann Peters, Esq.

11-30-05  
(Signature Date)

December 1, 2005  
Date of Service (For NASD-DR office use only)