

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

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CASE: 05-04361

Homer Ham, (Claimant) vs. Edward D. Jones & Co., (Respondent)

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**ATTORNEYS:**

For Claimant appeared Chris Claassen, Esq., of the firm Burg Simpson Eldredge Hersh & Jardine PC, Dallas, TX.

For Respondent appeared Sandra B. Gallini, Esq., of the firm Greensfelder, Hemker & Gale, PC, St. Louis, MO.

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** August 18, 2006

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**CASE SUMMARY:** Claimant alleged that Respondent misrepresented and omitted material facts regarding investments. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various common stock.

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**Claim Data**

Claim: \$25,000.00  
Interest: \$5,654.17  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

**Award Data**

Award: \$.00  
Interest: \$.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 the Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$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 has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Page Two  
Award 05-04361

Alice A. Waters, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Alice A. Waters, 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.

Alice A. Waters  
Alice A. Waters, Esq.

A. 20-06  
(Signature Date)

May 1, 2006  
Date of Service (For NASD-DR office use only)