

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-04580

Carolyn and Max Ender, (Claimants) vs. Edward D. Jones & Co., (Respondent)

ATTORNEYS:

For Claimant appeared Richard A. Lewins, Esq., of the firm Burg Simpson Eldredge Hersh Jardibe P.C., Dallas, TX.

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

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: August 31, 2005

CASE SUMMARY: Claimants alleged that Respondent misrepresented and omitted facts regarding investments. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved various mutual funds.

Claim Data

Claim: \$23,933.96
Interest: \$19,180.51
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.00
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 Claimants 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 Claimants deposited previously

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

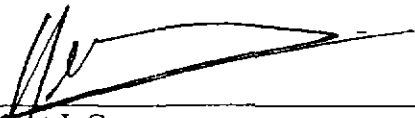
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Award 05-04580

Robert J. Gregory

Sole Public Arbitrator

AFFIRMATION

I, Robert J. Gregory, 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.



Robert J. Gregory

January 20, 2006
(Signature Date)

Date of Service (For NASD-DR office use only)