

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05275

Ronald Schulz, (Claimant) vs. Edward D. Jones & Co., (Respondent)

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, P.C., St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: October 11, 2005

CASE SUMMARY: Claimant alleged that Respondent misrepresented and omitted material facts regarding his investments. Claimant further alleged breach of fiduciary duty. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various mutual funds.

ARBITRATOR'S REPORT: Claimant has not shown that he was damaged monetarily by investing in "preferred" funds vs. comparable other funds.

Claim Data

Claim: \$7,978.45
Interest: \$9,409.45
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 Claimant are dismissed in their entirety without prejudice. 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 \$325.00 filing fee that the Claimant deposited previously.

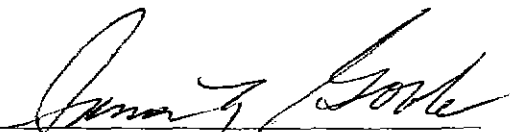
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

James L. Goble

Sole Public Arbitrator

AFFIRMATION

I, James L. Goble, 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.


James L. Goble

Feb 10 2006
(Signature Date)

February 17, 2006

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