

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05583

James D. Griffin, (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 28, 2005

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 mutual funds.

Claim Data

Claim: \$19,695.93
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50
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. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee.

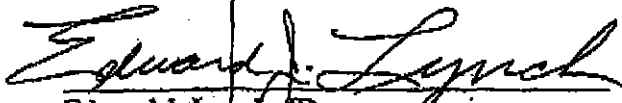
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Edward J. Lynch, JD

Sole Public Arbitrator

AFFIRMATION

I, Edward J. Lynch, JD, 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.


Edward J. Lynch, JD

17 April 2006
(Signature Date)

April 18, 2006
Date of Service (For NASD-DR office use only)