

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05840

Aurvil G. and Norma F. Gladden, (Claimants) 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: Customers vs. Member

DATE FILED: November 15, 2005

CASE SUMMARY: Claimants alleged that Respondent breached a contract, breached its fiduciary duty and negligently handled their account. Claimants further alleged that Respondent placed them in investments that were unsuitable for their needs. Claimants maintained that due to Respondent's actions, they suffered a financial loss. Claimants' claim involved common stock.

Claim Data

Claim: \$20,315.36
Interest: \$30,868.30
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: \$607.60

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 Claimant 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.

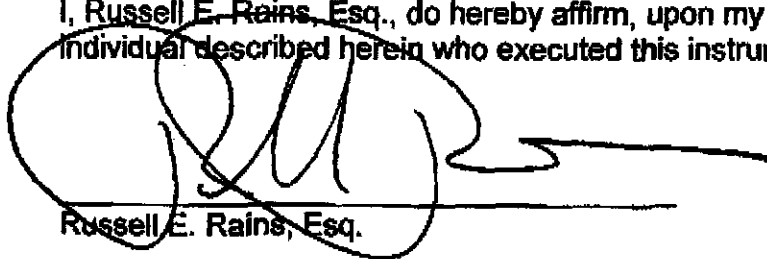
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Award 05-05840

Russell E. Rains, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Russell E. Rains, 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.

A large, stylized handwritten signature in black ink, appearing to be 'R. Rains', is written over a horizontal line. The signature is enclosed in a large, loopy circle.

Russell E. Rains, Esq.

29 June 2006
(Signature Date)

6/30/06
Date of Service (For NASD-DR office use only)