

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-00911

Edward D. Jones & Co., (Claimant) vs. Thomas C. Schwab, (Respondent)

ATTORNEYS:

For Claimant appeared Christopher A. Pickett, Esq., of the firm Goldberg Wehrle, LLC.

Respondent appeared *pro se*, Ketterling, OH.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: February 22, 2006

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing to repay monies owed pursuant to an Investment Representative Employment Agreement. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$9,375.00
Interest: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$9,375.00
Interest: \$.00
Filing Fees: \$375.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$9,375.00. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$375.00 as reimbursement of one half of the filing fee.

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

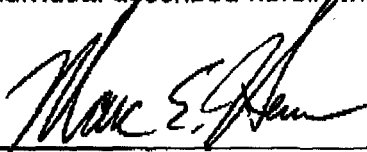
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Award 06-00911

Marc E. Henn, CFP

Sole Non-Public Arbitrator

AFFIRMATION

I, Marc E. Henn, CFP, 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.



Marc E. Henn, CFP

10/3/06

(Signature Date)

October 3, 2006

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