

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-01003

William Thomas Molloy, (Claimant) vs. Edward D. Jones & Co. and Terry R. Bowman (Respondents)

ATTORNEYS:

Claimant appeared *pro se*, Grass Valley, CA.

For Respondents appeared Lizabeth M. Conran, Esq., of the firm Greensfelder, Hemker & Gale, P.C., St. Louis, MO.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: February 25, 2006

CASE SUMMARY: Claimant alleged that Respondents misrepresented and failed to disclosed material facts regarding investments in his account. Claimant further alleged churning and suitability. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved mutual funds.

Claim Data

Claim: \$4,608.83
Punitive: \$3,000.00
Interest: \$299.01
Filing Fees: \$325.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$162.50

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 interest are denied. 3) All requests for punitive damages 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. 6) Respondent Edward D. Jones & Co. is solely liable and shall pay Claimant \$162.50 as reimbursement of one half of the filing fee.

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

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Award 06-01003

Sheldon Michaels, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Sheldon Michaels, 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.

Sheldon Michaels, Esq.

7.12.06
(Signature Date)

July 13, 2006

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