

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-01719

Arlin Brock, (Claimant) vs. Edward D. Jones & Co., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, San Diego, CA.

For Respondents appeared in-house counsel Lynette D. McDonald, Esq., St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: March 30, 2006

CASE SUMMARY: Claimant alleged that Respondent made unauthorized trades in his account, which deprived him of half of the dividend. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved preferred stock.

ARBITRATOR'S REPORT: Claimant's claim is dismissed in its entirety as the error was the result of misdeposited share quantities; Respondent shall bear the cost of the filing fees as the initial error was not due to Claimant's actions.

Claim Data

Claim: \$76.47
Punitive: \$152.94
Interest: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$50.00
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. 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 \$50.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$50.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

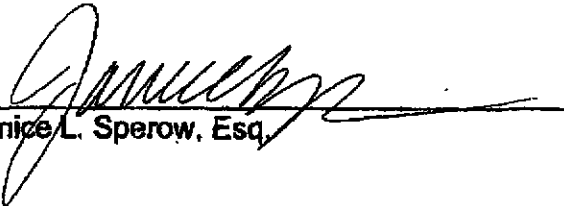
Page Two
Award 06-01719

Janice L. Sperow, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Janice L. Sperow, 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.


Janice L. Sperow, Esq.

7/20/06
(Signature Date)

August 1, 2006
Date of Service (For NASD-DR office use only)