

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02110

Fred and Elena Yoshida, Trustees of the Yoshida Family Trust, (Claimants) vs.
Edward D. Jones & Co., George Dustin Buck and Sherry Lynn Wilson-Ermeling,
(Respondents)

ATTORNEYS:

Claimants appeared *pro se*, Rancho Cordova, CA.

For Respondents appeared David J. Simmons, Esq., of the firm Greensfelder,
Hemker & Gale, P.C., St. Louis, MO.

NATURE OF DISPUTE: Customers v. Member and Associated Persons

DATE FILED: April 25, 2006

CASE SUMMARY: Claimants alleged that Respondents breached their fiduciary duty by placing them in investments that were unsuitable for their needs and misrepresenting facts about the investments. Claimants further alleged overpayment of commissions. Claimants maintained that due to Respondents' actions, they suffered a financial loss. Claimants' claim involved corporate bonds.

Claim Data

Claim: \$2,000.00
Filing Fees: \$.00

Award Data

Award: \$2,000.00
Filing Fees: \$75.00

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 against Respondent Sherry Lynn Wilson-Ermeling are dismissed in their entirety. 2) Respondent Edward D. Jones & Co. is liable and shall pay to the Claimants \$1,000.00. 3) Respondent George Dustin Buck is liable and shall pay to the Claimants \$1,000.00. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 6) Respondent Edward D. Jones & Co. is liable and shall pay Claimant \$37.50 as reimbursement of one half of the filing fee. 7) Respondent George Dustin Buck is liable and shall pay Claimant \$37.50 as reimbursement of one half of the filing fee. 8) The Panel recommends the expungement of all reference to the above captioned arbitration from Respondent Sherry Lynn Wilson-Ermeling's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Sherry Lynn Wilson-Ermeling must obtain confirmation from a court of competent jurisdiction before the CRD will execute

Page Two
Award 06-02110

the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.

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

Page Three
Award 06-02110

Nick G. Tarlson

Sole Public Arbitrator

AFFIRMATION

I, Nick G. Tarlson, 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.



Nick G. Tarlson

10/3/06

(Signature Date)

October 4, 2006

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