

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-04347

Carole J. Weustoff, (Claimant) vs. Hannah Maria Stear, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Jennings, MO.

For Respondent appeared In-house counsel for Edward D. Jones & Co., Kimber L. Monroe, Esq., St. Louis, MO.

NATURE OF DISPUTE: Customer vs. Associated Person

DATE FILED: September 19, 2006

CASE SUMMARY: Claimant alleged that Respondent breached her fiduciary duty by failing to properly advise her about penalties for taking funds from an account. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved an annuity.

Claim Data

Claim: \$3,800.00
Filing Fees: \$175.00

Award Data

Award: \$.00
Filing Fees: \$.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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Edward D. Jones & Co. has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

Page Two
Award 06-04347

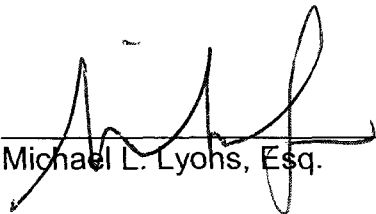
Michael L. Lyons, Esq.

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Sole Public Arbitrator

AFFIRMATION

I, Michael L. Lyons, 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.



Michael L. Lyons, Esq.

1-29-07

(Signature Date)

February 6, 2007
Date of Service (For NASD-DR office use only)