

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

John A. Oxford

vs.

Edward D. Jones & Co.

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION

AWARD

89-01308

CASE SUMMARY

Claimant(s) John A. Oxford alleged that Respondent(s) Edward D. Jones & Co. failed to tender all of Claimant's shares of a certain security subject to a tender offer. Respondent(s) deny all allegations of wrongdoing.

RELIEF REQUESTED

Claimant(s) John A. Oxford requested damages of Seven Thousand Four Hundred Twenty Five Dollars and No Cents (\$7,425.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Robert L. Agosto, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on April 15, 1989 and by Respondent(s) on June 12, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondent(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The claim against the Respondent is dismissed in all respects.

The parties shall each bear their respective costs including attorney's fees.

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 19, 1989