

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Jerry W. and  
Linda M. Kielsmeier JTWROS

Claimant(s)

vs.

Edward D. Jones & Co., Inc.

Respondent(s)

NOTICE OF  
ARBITRATION

AWARD

89-02677

CASE SUMMARY

Claimant(s) Jerry W. and Linda M. Kielsmeier JTWROS alleged that Respondent(s) Edward D. Jones & Co., Inc. recommended unsuitable investments and did not provide a current Prospectus with regard to the securities sold to Claimants. Respondent(s) maintain that Claimants are enjoined by court order from asserting their claim against the Respondent and moved to dismiss the claim. Further, Respondent denies the allegations of unsuitability and asserts that at all times Prospectuses were provided.

RELIEF REQUESTED

Claimant(s) Jerry W. and Linda M. Kielsmeier JTWROS requested damages of Nine Thousand Two Hundred Fifty One Dollars and Fifty Cents (\$9,251.50). 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 September 21, 1989 and by Respondent(s) on November 3, 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:

That the claim against the Respondent is hereby dismissed in all respects.

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

Notice of Arbitration Award  
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The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) is assessed against the Claimants and shall be retained by the NASD as costs of this proceeding.

April 4, 1990