

AWARD

NASD Regulation, Inc.

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CASE: 99-00235

Calvin Family Living Trust, claimant vs. Edward D. Jones & Co. and Christopher Downs, respondents.

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ATTORNEYS:

Claimant appeared Pro Se, through its trustees, Mesa, AZ.

For Respondents appeared in-house counsel, Cynthia A. Doria, Esq.- St. Louis, MO.

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DATE FILED: January 19, 1999

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CASE SUMMARY: Claimant, through Wilbert Calvin alleged that Respondents failed to inform him of the risks of investing in a mutual fund, contrary to his conservative investments objectives.

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**Claim Data**

Claim: \$5,833.82

Filing Fees: \$.00

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**Award Data**

Award: \$.00

Filing Fees: \$.00

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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 claimant are dismissed in their entirety. 2) All other requests for relief are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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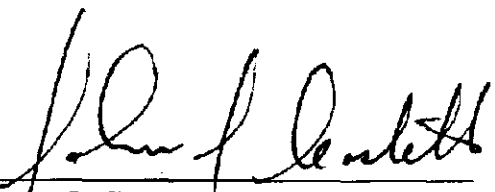
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Edward D. Jones & Co., Inc., has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, John J. Costello, 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.

  
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John J. Costello

November 23, 1999  
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Date of award