

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 99-01424

Richard A.S. Jones, claimant vs. John Duffy and The Vanguard Group, respondents.

ATTORNEYS:

Claimant Richard A.S. Jones appeared Pro Se., Powell, Ohio.

For Respondents John Duffy and The Vanguard Group, Pauline C. Scalvino, Esq., Principle and Associate Counsel of The Vanguard Group, Valley Forge, Pennsylvania.

DATE FILED: 03/24/1999

CASE SUMMARY: Claimant maintained that on October 13, 1998, he requested that Respondent sell his Vanguard Fiduciary Trust account ("Account") and roll over the proceeds to a new account. Claimant alleged that as a result of an error in distribution of the Account, he lost the opportunity to have his funds invested.

Claim Data

Claim: \$6,178.09

Award Data


Award: \$.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 claimant are dismissed without prejudice in their entirety for lack of jurisdiction. 2) The \$325.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

Page Two
Award 99-01424

AFFIRMATION

I, Elmer G. Cowan, 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.


Elmer G. Cowan, Esq.

January 10, 2000
Date of award