

**Expungement Award
FINRA Dispute Resolution Services**

In the Matter of the Arbitration Between:

Claimant
Ramona Ivy

Case Number: 25-01676

vs.

Respondent
Edward D. Jones & Co., L.P.

Hearing Site: Los Angeles, California

Awards are rendered by independent arbitrators who are appointed pursuant to Rule 13806 of the Code of Arbitration Procedure (“Code”) to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

Nature of the Dispute: Associated Person vs. Member

The expungement hearing was conducted by videoconference.

REPRESENTATION OF PARTIES

For Claimant Ramona Ivy (“Claimant”): David Harrison, Esq., Bakhtiari & Harrison, P.C., Studio City, California.

For Respondent Edward D. Jones & Co., L.P. (“Respondent”): Kevin H. Lewis, Esq., Edward D. Jones & Co., L.P., St. Louis, Missouri.

CASE INFORMATION

Statement of Claim filed on or about: August 13, 2025.
Claimant signed the Submission Agreement: August 8, 2025.

Statement of Answer filed by Respondent on or about: October 7, 2025.
Respondent signed the Submission Agreement: October 7, 2025.

CASE SUMMARY

In the Statement of Claim, Claimant asserted a claim seeking expungement of customer dispute information from registration records maintained by the Central Registration Depository (“CRD”).

In the Statement of Answer, Respondent took no position on Claimant’s expungement request.

RELIEF REQUESTED

In the Statement of Claim, Claimant (CRD Number 7083803) requested: Expungement of all references to Occurrence Number 2394302 from the CRD registration records and any and all other relief that the Panel deems appropriate.

In the Statement of Answer, Respondent requested that Claimant should be required to bear all fees and costs associated with this proceeding.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrators acknowledge that they have each read the pleadings and other materials filed by the parties.

On February 26, 2026, Claimant advised that the customer in Occurrence Number 2394302 ("Customer") was served with a copy of the Statement of Claim, although not within 10 days of filing the Statement of Claim, and provided proof of service.

On February 26, 2026, Claimant advised that the Customer was served with a copy of the Statement of Answer, although not within 10 days of filing the Statement of Answer, and provided proof of service.

On February 27, 2026, the authorized representative of the state securities regulator for California submitted a written statement.

The Panel conducted a recorded hearing by videoconference on March 17, 2026, so the parties could present oral argument and evidence on Claimant's request for expungement. Claimant appeared by videoconference at the expungement hearing. Respondent appeared at the expungement hearing.

The Customer did not appear at the expungement hearing.

The authorized representative of the state securities regulator for California did not appear at the expungement hearing. On September 2, 2025, the authorized representative of the state securities regulator for California submitted a written statement with their intent to appear at the expungement hearing. In their written statement submitted on February 27, 2026, the authorized representative of the state securities regulator for California stated their intention not to appear at the expungement hearing.

AWARD

After considering the pleadings, the testimony and evidence presented at the expungement hearing, the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's request for expungement of Occurrence Number 2394302 from registration records maintained by the CRD is denied with prejudice. The Panel's decision was unanimous.

2. Any and all claims for relief not specifically addressed herein are denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution Services assessed a filing fee* for each claim:

Initial Claim Filing Fee	= \$	2,000.00
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**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge	= \$	2,600.00
Member Process Fee	= \$	5,005.00

Hearing Session Fees and Assessments

The Panel has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the Arbitrator(s), including a pre-hearing conference with the Arbitrator(s), which lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) pre-hearing session with the Panel @ \$1,725.00/session	= \$	1,725.00
Pre-Hearing Conference: November 18, 2025 1 session		
One (1) hearing session on expungement request @ \$1,725.00/session	= \$	1,725.00
Hearing: March 17, 2026 1 session		
Total Hearing Session Fees	= \$	3,450.00

The Panel has assessed the total hearing session fees to Claimant.

All balances are payable to FINRA Dispute Resolution Services and are due upon receipt.

ARBITRATION PANEL

Diane Ciccone	-	Public Arbitrator, Presiding Chairperson
Leah Murray Albert	-	Public Arbitrator
Theresa Joan Rosenberg	-	Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

Concurring Arbitrators' Signatures

Diane Ciccone

Diane Ciccone
Public Arbitrator, Presiding Chairperson

03/20/2026

Signature Date

Leah Murray Albert

Leah Murray Albert
Public Arbitrator

03/23/2026

Signature Date

Theresa Joan Rosenberg

Theresa Joan Rosenberg
Public Arbitrator

03/20/2026

Signature Date

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March 23, 2026

Date of Service (For FINRA Dispute Resolution Services use only)