

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-01101

The Estate of Barbara C. Duckworth, claimant vs. Morgan Stanley DW, Inc., respondent.

ATTORNEYS:

For Claimant appeared Neal J. Blaher, Esq., Orlando, FL.

For Respondent appeared in-house counsel, Thomas Croke, Esq., New York, NY.

DATE FILED: February 25, 2002

CASE SUMMARY: Claimant alleged that respondent failed to timely liquidate the AIM Euroland Growth Fund as requested. Claimant maintained that due to respondent's actions, the account suffered losses.

Claim Data

Claim: \$3,027.33
Punitive: Unspecified
Interest: Unspecified

Filing Fees: Unspecified
Other: Unspecified
Sanctions: Requested

Award Data

Award: \$3,027.33
Punitive: \$.00
Interest: 10% p.a. from 8/31/01 to 10/14/02
Filing Fees: \$175.00
Other: \$.00
Sanctions: \$1,000.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$3,027.33. 2) Respondent is liable and shall pay to the claimant interest at the rate of 10% per annum from August 13, 2001 to October 14, 2002. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondent is liable and shall pay claimant \$175.00 as reimbursement of the filing fee. 7) Claimant's Motion for Discovery Sanctions filed against the respondent was granted by the arbitrator in the amount of \$1,000.00 for failure to produce discovery requested.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

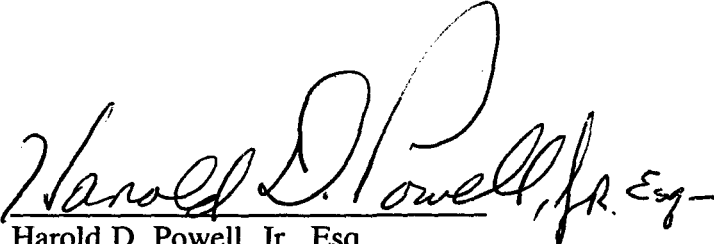
Harold D. Powell, Jr., Esq.

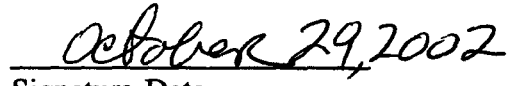
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Sole Public Arbitrator

AFFIRMATION

I, Harold D. Powell, Jr., 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.


Harold D. Powell, Jr., Esq.


Signature Date

November 6, 2002

Date of Service (For NASD-DR office use only)