

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06535

Timothy J. LoBello, Claimant vs. Morgan Stanley DW, Inc., Matthew J. Schleichkorn, Connie Stevens and Filipe L. Camejo, Respondents.

ATTORNEYS:

Claimant appeared pro se. Aliso Viejo, CA.

For Respondents appeared Keith Guilfoyle, in-house Counsel, New York, NY.

DATE FILED: October 31, 2002

CASE SUMMARY: Claimant alleged that Respondents forged his signature and submitted it for options trading. Claimant maintained that due to the unauthorized trading in his account because of the forged signature, he suffered financial losses.

Claim Data

Claim: \$24,500.00
Punitive: \$1.00
Interest: unspecified
Other: unspecified

Award Data

Award: \$5,688.56
Punitive: \$.00
Interest: @ 9% per annum from
12/31/99 to date of payment of award.
Other: \$.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 against Matthew J. Schleichkorn, Connie Steven and Filipe L. Camejo are dismissed in their entirety. 2) Respondent Morgan Stanley DW, Inc., is liable and shall pay to the Claimant \$5,688.56. 3) Respondent Morgan Stanley DW, Inc. is liable and shall pay to the Claimant interest at 9% per annum from December 31, 1999 to date of payment of award. 4) All requests for punitive damages are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously assessed to Claimant was waived by NASD Dispute Resolution. 7) Respondent Morgan Stanley DW, Inc. is liable and shall to the NASD Dispute Resolution \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Morgan Stanley DW, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

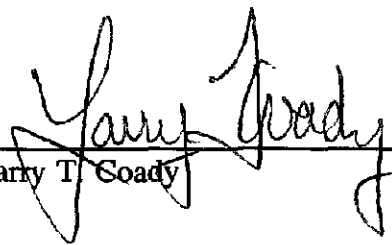
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Award 02-06535

Larry T. Coady

Sole Public Arbitrator

AFFIRMATION

I, Larry T. Coady, 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.


Larry T. Coady

4/1/03
Signature Date

April 11, 2003
Date of Service (For NASD-DR office use only)