

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-02121

Theodore L. Lewis, Claimant vs. Michael J. Freiman and Legg Mason Wood Walker, Inc., Respondents.

ATTORNEYS:

Claimant appeared pro se, Germantown, MD.

Respondents, Michael J. Freiman and Legg Mason Wood Walker, Inc., appeared in-house counsel, Jason W. Gardner, Esq., Baltimore, MD.

DATE FILED: March 24, 2003

CASE SUMMARY: Claimant alleged that Respondents omitted and misrepresented facts to him re. his Preferred Account. He further alleged that his account was placed in investments that were unsuitable to his needs. Claimant maintained that due to Respondents' actions, his account suffered financial loss. Claimant's claim involved annuities and mutual funds.

Claim Data

Claim: \$25,000.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
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 are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Legg Mason Wood Walker, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

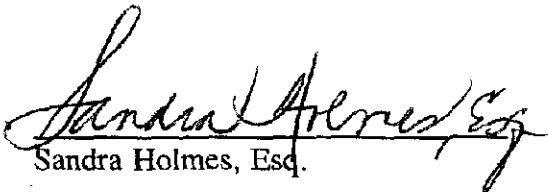
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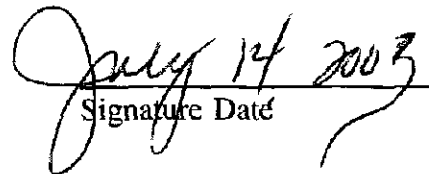
Sandra Holmes, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Sandra Holmes, 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.


Sandra Holmes, Esq.


Signature Date

July 18, 2003

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