

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE:03-03858

Raymond F. Faby, Claimant v. Ronnie J. King and Frances S. King, Respondents.

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**ATTORNEYS:**

For Claimant, Raymond F. Faby, ("Claimant"), appeared through the associated firm at the time of the dispute, in-house counsel of Morgan Stanley DW, Inc., Howard Sendroritz, Esq., New York, NY.

For Respondents, Ronnie J. King and Frances S. King, ("Respondents"), appeared William N. Butler, Esq., of Howard Butler & Melfa, P.A., Towson, MD.

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**NATURE OF DISPUTE:** Associated Person v. Customers

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**DATE FILED:** May 28, 2003

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**CASE SUMMARY:** Claimant requested an expungement of all reference to NASD-DR Case No. 01-05593 entitled Ronnie & Frances King, Ronnie J. King IRA, and Frances S. King, IRA v. Morgan Stanley DW, Inc., Raymond F. Faby, Brandon M. Lockett, and Charles E. Thorne, III from his CRD records maintained by the NASD Central Registration Depository ("CRD").

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**Claim Data**

Expungement  
Filing fees: \$.00  
Other: Unspecified

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**Award Data**

Claim: Granted  
Filing fees: \$.00  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The arbitrator recommends the expungement of all reference to NASD-DR Arbitration Case No. 01-05593 entitled, Ronnie & Frances King, Ronnie J. King IRA, and Frances S. King IRA v. Morgan Stanley DW, Inc., Raymond F. Faby, Brandon M. Lockett, and Charles E. Thorne, III from Claimant Raymond F. Faby's registration record maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Claimant Raymond F. Faby must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the Claimant deposited previously.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Morgan Stanley DW, Inc., the member firm associated with the Claimant at the time of the dispute, has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

**ARBITRATOR**

Robert Charkovsky, Esq. - Sole Public Arbitrator

**AFFIRMATION**

I, Robert Charkovsky, 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.

Robert Charkovsky  
Robert Charkovsky, Esq.

March 6, 2004  
Signature Date

March 12, 2004  
Date of Service (For NASD-DR office use only)