
Stipulated Award
NASD DISPUTE RESOLUTION

In the Matter of the Arbitration Between:

Name of the Claimant

Jeffrey R. Gordon

Case Number: 03-04695

Names of the Respondents

Cynthia Harris, individually and as Trustee of the
Cynthia Harris Living Trust U/A DTD 2/18/00

Hearing Site: Boca Raton, FL

Nature of the Dispute: Associated Person vs. Customers.

REPRESENTATION OF PARTIES

For Jeffrey R. Gordon, hereinafter referred to as "Claimant": Peter J. Aldrich, Esq., Palm Beach Gardens, FL.

For Cynthia Harris, individually and as Trustee of the Cynthia Harris Living Trust U/A DTD 2/18/00, hereinafter collectively referred to as "Respondents": Jeffrey P. Coleman, Esq., Clearwater, FL.

CASE INFORMATION

Statement of Claim filed on or about: June 27, 2003.

Claimant signed the Uniform Submission Agreement: June 17, 2003.

Statement of Answer filed by Respondents on or about: July 23, 2003.

Respondents did not file executed Uniform Submission Agreements.

CASE SUMMARY

Claimant requested that the undersigned arbitrator ("Arbitrator") recommend the expungement of all references to the arbitration styled Cynthia Harris, individually and as Trustee of the Cynthia Harris Living Trust U/A DTD 2/18/00 v. Morgan Stanley Dean Witter and Jeff Gordon, NASD Dispute Resolution case number 01-04088 ("Harris arbitration"), from Claimant's registration records maintained by the NASD Central Registration Depository ("CRD").

In their Answer, Respondents consented to Claimant's request.

RELIEF REQUESTED

Claimant requested an order directing the CRD to expunge the Harris arbitration and its resolution from Claimant's registration records maintained by CRD.

Respondents requested an order directing the CRD to expunge the Harris arbitration and its resolution from

Claimant's registration records maintained by CRD.

OTHER ISSUES CONSIDERED AND DECIDED

Respondents did not file with NASD Dispute Resolution properly executed Uniform Submission Agreements but submitted to arbitration pursuant to the NASD Code of Arbitration Procedure (the "Code") and, having filed the Consent of Respondent, Cynthia Harris, Individually and as Trustee of the Cynthia Harris Living Trust U/A DTD 2-18-00, to Jeffrey R. Gordon's Request for Expungement of the Central Depository Record, are bound by the determination of the Arbitrator on all issues submitted.

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

The Arbitrator recommends the expungement of all references to Cynthia Harris, individually and as Trustee of the Cynthia Harris Living Trust U/A DTD 2/18/00 v. Morgan Stanley Dean Witter and Jeff Gordon, NASD Dispute Resolution case number 01-04088, from Claimant Jeffrey R. Gordon's registration records maintained by the NASD CRD, with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimant must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$ 250.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the dispute. Accordingly, Claimant was employed by Morgan Stanley Dean Witter at the time of the events giving rise to the dispute.

Member surcharge	= \$1,500.00
Pre-hearing process fee	= \$ 750.00
Total Member Fees	= \$2,250.00

Adjournment Fees

Adjournments granted during these proceedings for which fees were assessed:

No requests for adjournments were granted during these proceedings for which fees were assessed.

Injunctive Relief Fees

Injunctive relief fees are assessed to each member or associated person who files for a temporary injunction in court. Parties in these cases are also assessed arbitrator travel expenses and costs when an arbitrator is required to travel outside his or her hearing location and additional arbitrator honoraria for the hearing for permanent injunction. These fees, except the injunctive relief surcharge, are assessed equally against each party unless otherwise directed by the Panel.

No injunctive relief fees were incurred in this matter.

Forum Fees and Assessments

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

No hearing sessions were conducted in this matter and, thus, no forum fees assessed.

Administrative Costs

Administrative costs are expenses incurred due to a request by a party for special services beyond the normal administrative services. These include, but are not limited to, additional copies of arbitrator awards, copies of audio transcripts, retrieval of documents from archives, interpreters, and security.

No administrative costs were incurred in this matter.

Fee Summary

Claimant is solely liable for:

<u>Initial Filing Fee</u>	= \$ 250.00
Total Fees	= \$ 250.00
<u>Less payments</u>	= \$ 250.00
Balance Due NASD Dispute Resolution	= \$ 0.00

Morgan Stanley Dean Witter is solely liable for:

<u>Member Fees</u>	= \$ 2,250.00
Total Fees	= \$ 2,250.00
<u>Less payments</u>	= \$ 2,250.00
Balance Due NASD Dispute Resolution	= \$ 0.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATOR

George R. Canty, Jr.

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Public Arbitrator, Presiding Chairperson

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Arbitrator's Signature

/s/
George R. Canty, Jr.
Public Arbitrator, Presiding Chairperson

Signature Date

December 5, 2003
Date of Service (For NASD Dispute Resolution office use only)

