

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-06049

Ray Koury, Claimant v. J. Sergio Bohon, Respondent.

ATTORNEYS:

Claimant, Ray Koury, ("Claimant"), appeared pro se, Albany, CA.

For Respondent, J. Sergio Bohon, ("Respondent"), appeared the in-house counsel of the associated firm at the time of the dispute, Morgan Stanley DW Inc., Ronald E. Wood, Esq., Los Angeles, CA.

NATURE OF DISPUTE: Customer v. Associated Person

DATE FILED: August 20, 2003

CASE SUMMARY: Claimant alleged that Respondent failed to receive authorization before selling mutual funds from one of his accounts in order to pay off a disputed amount in another account. Claimant maintained that due to Respondent's action, his account suffered financial losses.

Claim Data

Claim: \$12,551.00
Punitive: \$3,000.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.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 the Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

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

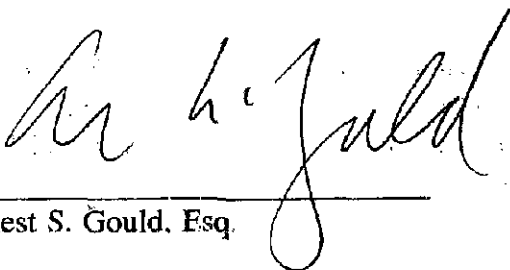
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Award 03-06049

Ernest S. Gould, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Ernest S. Gould, 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.



Ernest S. Gould, Esq.

2-2-04

Signature Date

March 5, 204

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