

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01440

Morris Weiss, Claimant v. Oliver Wolcott, III, Respondent

ATTORNEYS:

Claimant, Morris Weiss, ("Claimant"), appeared *Pro Se* Harwich, MA.

For Respondent, Oliver Wolcott, III, ("Respondent"), appeared Harrison Kaufman, Esq., of Morgan Stanley, New York, NY.

NATURE OF DISPUTE: Customer vs. Associated Person

DATE FILED: March 3, 2004.

CASE SUMMARY: Claimant alleged that Respondent ignored his investment philosophy in the purchase of the high-risk stock, Crown Pacific Partners. Claimant maintained that due to Respondent's actions, his account suffered financial losses.

Claim Data

Claim: \$14,100.00

Filing Fees: Unspecified

Award Data

Award: \$.00

Filing Fees: \$212.50

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) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one-half of the filing fee.

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

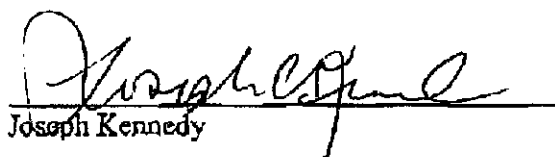
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Award 04-01440

ARBITRATOR

Joseph Kennedy - Sole Public Arbitrator

AFFIRMATION

I, Joseph Kennedy, 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.


Joseph Kennedy

09/30/04
Signature Date

October 4, 2004
Date of Service (For NASD-DR office use only)