

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

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**CASE:** 04-07985

Greg Jordan, Parent and Custodian for Jonathan Jordan, a Minor Child, Claimant v. Morgan Stanley DW, Inc., Respondent

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**ATTORNEYS:**

For Claimant Greg Jordan, Parent and Custodian for Jonathan Jordan, a Minor Child ("Claimant") appeared J. Benton Stewart, II, Esq., The Stewart Law Group, P.L.L.C., Tampa, FL.

For Respondent Morgan Stanley DW, Inc. ("Respondent") appeared Harrison Kaufman, Esq., in-house counsel, Morgan Stanley DW, Inc., Purchase, NY.

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**NATURE OF DISPUTE:** Customer vs. Member.

**DATE FILED:** November 16, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondent placed him in investments that were unsuitable for his needs and investment objectives. Claimant further alleged that Respondent breached its fiduciary duty, misrepresented and omitted to state material facts, was negligent and provided negligent supervision. Claimant maintained that due to Respondent's actions, the account suffered losses.

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**Claim Data**

Claim: \$22,000.00  
Punitive: \$3,000.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$0.00  
Punitive: \$0.00  
Interest: \$0.00  
Attorney Fees: \$0.00  
Filing Fees: \$212.50  
Other: \$0.00

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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 claims of Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondent is liable and shall pay claimant \$212.50 as reimbursement of one-half of the filing fee.

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

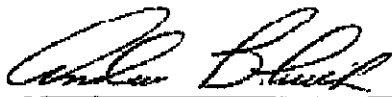
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ARBITRATOR

Andrew J. Bolnick - Sole Public Arbitrator

AFFIRMATION

I, Andrew J. Bolnick, 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.



Andrew J. Bolnick

4-15-05

Signature Date

April 20, 2005

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