

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08506

Charles Anderson, Claimant v. Morgan Stanley & Co., Inc., Respondent

ATTORNEYS:

Claimant Charles Anderson ("Claimant") appeared *pro se*, Boston, MA.

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

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: December 14, 2004.

CASE SUMMARY: Claimant alleged that he purchased shares of MCI WorldCom stock based upon the recommendation of Respondent's research analysts. Claimant further alleged that due to Respondent's breach of fiduciary duty, omission of facts, failure to supervise, and negligence, his account suffered losses.

Claim Data

Claim: \$11,385.00
Interest: \$1,000.00
Filing Fees: \$425.00

Award Data

Award: \$0.00
Interest: \$0.00
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 requests for interest 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. 5) 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 04-08506

Allan E. Johnson

Sole Public Arbitrator

AFFIRMATION

I, Allan E. Johnson, 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.


Allan E. Johnson

5/31/05
Signature Date

June 1, 2005

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