

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01694

Morgan Stanley DW Inc. (f/k/a Dean Witter Reynolds Inc.), (Claimant) vs. Ricky Allen Lewis, (Respondent)

ATTORNEYS:

For Claimant appeared Diane C. Fischer, Esq., of the firm Kane & Fischer, Ltd., Chicago, IL.

Respondent did not submit an Answer to the Statement of Claim.

NATURE OF DISPUTE: Member vs. Customer

DATE FILED: March 30, 2005

CASE SUMMARY: Claimant alleged that Respondent breached a written contract by failing to repay monies for a debit balance pursuant to the terms of an Individual Retirement Plan. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$25,000.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$25,000.00
Filing Fees: \$1,050.00
Other: \$00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$25,000.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$1,050.00 as reimbursement of the filing fee.

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

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Ricky Allen Lewis was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail, and is therefore bound by the arbitrator's ruling and determination.

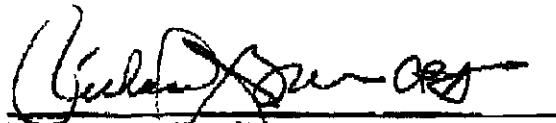
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Award 05-01694

Richard J. Fuller, CPA

Sole Public Arbitrator

AFFIRMATION

I, Richard J. Fuller, CPA, 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.


Richard J. Fuller, CPA

7/27/05
(Signature Date)

July 27, 2005
Date of Service (For NASD-DR office use only)