

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-02130

Rebecca Howland, (Claimant) vs. Morgan Stanley & Co., Incorporated and Matt Hatton, (Respondents)

ATTORNEYS:

For Claimant appeared Vincent Acquista of the Brooklyn Law School, Brooklyn, NY.

For Respondents appeared in-house counsel Harrison Kaufman, Esq., Purchase, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: April 18, 2005

CASE SUMMARY: Claimant alleged that Respondents breached their fiduciary duty, negligently handled her account and misrepresented facts regarding her investments. Claimant further alleged failure to supervise, suitability, breach of contract and violations of NASD and NYSE rules and regulations. Claimant maintained that due to Respondents' actions, she suffered financial losses. Claimants claim involved common stock and mutual funds.

Claim Data

Claim: \$5,876.99
Interest: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.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 interest are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution previously waived the \$325.00 filing fee for the Claimant deposited previously. 5) Respondents are jointly and severally liable and shall pay NASD Dispute Resolution \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Morgan Stanley & Co., Incorporated, has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

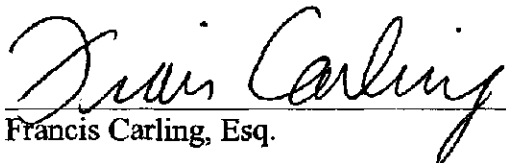
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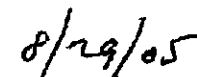
Francis Carling, Esq.


- Sole Public Arbitrator

AFFIRMATION

I, Francis Carling, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules that I am the individual described herein, and who executed this instrument, which is my award.


Francis Carling, Esq.


(Signature Date)


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