

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-03003

Steven W. Adams, Guardian for Kimberly M. Adams UGMA/WA, (Claimant) vs.
Morgan Stanley DW Inc., (Respondent)

ATTORNEYS:

For Claimant appeared Robert L. Adams, Seattle, WA.

For Respondent appeared in-house counsel Mukya S. Porter, San Francisco, CA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: June 7, 2005

CASE SUMMARY: Claimant alleged that Respondent breached its fiduciary duty by placing him in unsuitable investments. Claimant further alleged negligence and failure to supervise. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved Unit Investment Trusts.

Claim Data

Claim: \$8,089.00
Punitive: \$1,500.00
Filing Fees: \$325.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$162.50

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 the Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$162.50 as reimbursement of the filing fee.

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

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Award 05-03003

Ian M. Grant

Sole Public Arbitrator

AFFIRMATION

I, Ian M. Grant, 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.



Ian M. Grant

9-29-05
(Signature Date)

OCTOBER 6, 2005
Date of Service (For NASD-DR office use only)