

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-00174

Rickey A. Haman, (Claimant) vs. David Robert Golson, Morgan Stanley DW Inc. and Merrill Lynch, Pierce, Fenner & Smith, Inc., (Respondents)

ATTORNEYS:

For Claimant appeared Susan B. Norris, Esq. of the firm The Law Offices of Susan Berman Norris, Wetumpka, AL.

For Respondents David Robert Golson and Morgan Stanley DW Inc. appeared in-house counsel Andrew Lipton, Esq., Purchase, NY.

For Respondent Merrill Lynch, Pierce, Fenner & Smith, Inc., appeared in-house counsel H. Kyeng Lee, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Members and Associated Person

DATE FILED: January 3, 2006

CASE SUMMARY: Claimant alleged that Respondents breached their fiduciary duty, omitted facts and misrepresented facts regarding investments. Claimant further alleged churning. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved common stock.

Claim Data

Claim: \$12,405.00
Punitive: \$10,000.00
Interest: \$2,232.90
Attorney Fees: \$7,468.33
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$2,405.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50
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 against Respondent Morgan Stanley DW Inc. are dismissed in their entirety. 2) Respondent David Robert Golson is solely liable and shall pay to the Claimant \$2,405.00. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest 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 David Robert Golson is solely liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee. 8) Respondent David Robert Golson's request for expungement is denied.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondents Morgan Stanley DW Inc. and Merrill Lynch, Pierce, Fenner & Smith, Inc. have paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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OTHER ISSUES: By letter dated April 6, 2006, Claimant withdrew Respondent Merrill Lynch, Pierce Fenner & Smith Inc. as a party to this matter.

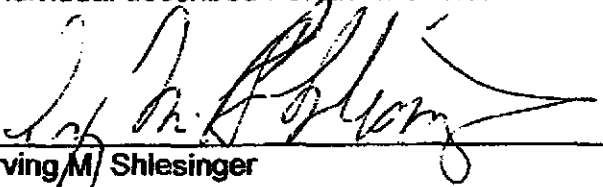
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Irving M. Shlesinger

Sole Public Arbitrator

AFFIRMATION

I, Irving M. Shlesinger, 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.


Irving M. Shlesinger


(Signature Date)

July 7, 2007

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