

**Award**  
**FINRA Office of Dispute Resolution**

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In the Matter of the Arbitration Between:

Claimant  
Freida Wesson Bosh

Case Number: 17-00757

vs.

Respondents  
Morgan Stanley Smith Barney LLC  
Jeffrey David Wiseman;  
Bradley James Dykes;  
Olatunde Vittorio Augustus;  
Elisabeth Ann Kratka;  
David Allen Yost; and  
Christopher Wesson Bosh

Hearing Site: Dallas, Texas

**Consolidated with:**

Claimants  
Christopher Wesson Bosh, Individually  
and as Owner, Director, and/or Officer  
for Bosh Enterprises, LLC;  
CWB Productions, LLC;  
CB1 Enterprises, Inc.;  
Mr. Nice Tie, LLC; and  
Adrienne Bosh

Case Number: 17-02911

Hearing Site: Los Angeles, California

vs.

Respondents  
Morgan Stanley Smith Barney LLC;  
True Capital Management LLC;  
Jeffrey David Wiseman; and  
Freida Wesson Bosh

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Nature of the Dispute: Customer vs. Member, Associated Persons, and Customer

Nature of the Dispute: Customers vs. Member, Non-Member, Associated Person, and Customer

This case was decided by a majority-public panel.

## **REPRESENTATION OF PARTIES**

For Claimant Freida Wesson Bosh ("F. Bosh"): Joe B. Abbey, Esq., The Law Office of Joe B. Abbey, Dallas, Texas, as of on or about October 6, 2017.

For Claimants Christopher Wesson Bosh, individually ("C. Bosh"); Christopher Wesson Bosh as owner, Director, and/or Officer for Bosh Enterprises, LLC ("Bosh Enterprises"); CWB Productions, LLC ("CWB"); CB1 Enterprises, Inc. ("CB1"); Mr. Nice Tie, LLC ("Tie"); and Adrienne Bosh ("A. Bosh"), hereinafter, collectively referred to as "C. Bosh Claimants": Philip M. Aidikoff, Esq. and Ryan K. Bakhtiari, Esq., Aidikoff, Uhl & Bakhtiari, Beverly Hills, California, and Justin B. Elegant, Esq., Berger Singerman, LLP, Miami, Florida.

For Respondents Morgan Stanley Smith Barney LLC ("Morgan Stanley"); Jeffrey David Wiseman ("Wiseman"); Bradley James Dykes ("Dykes"); Olatunde Vittorio Augustus ("Augustus"); Elisabeth Ann Kratka ("Kratka"); and David Allen Yost ("Yost"): Joseph C. Coates, III, Esq., Bradford D. Kaufman, Esq., and Gina Schlaferman, Esq., Greenberg Traurig, P.A., West Palm Beach.

For Respondent True Capital Management, LLC ("TCM"): Brian Kennedy, Esq., Law Office of Brian Kennedy, New York, New York.

## **CASE INFORMATION**

### **17-00757:**

Statement of Claim filed on or about: March 24, 2017.

Amended Statement of Claim filed by F. Bosh on or about: February 9, 2018.

Answer to C. [and A.] Bosh's Amended Statement of Claim/Answer filed by F. Bosh on or about: August 9, 2019.

F. Bosh signed the Submission Agreement: March 23, 2017.

Answer to F. Bosh's Amended Statement of Claim filed by C. Bosh on or about: June 25, 2018.

Amended Statement of Claim/Answer filed by C. and A. Bosh on or about: July 1, 2019.

Statement of Answer filed by Morgan Stanley, Dykes, Augustus, Kratka, and Yost on or about: June 10, 2017.

Statement of Answer to F. Bosh's Amended Statement of Claim filed by Morgan Stanley and Dykes on or about February 22, 2018.

Statement of Answer to C. [and A.] Bosh's Amended Statement of Claim/Answer filed by Morgan Stanley and Wiseman on or about: August 21, 2019.

Morgan Stanley signed the Submission Agreement: June 22, 2017.

Wiseman did not sign the Submission Agreement.

Dykes signed the Submission Agreement: June 30, 2017.

Augustus signed the Submission Agreement: June 19, 2017.

Kratka signed the Submission Agreement: June 30, 2017.

Yost signed the Submission Agreement: June 16, 2017.

**17-02911:**

Statement of Claim filed on or about: October 31, 2017.  
C. Bosh Claimants signed the Submission Agreement: October 30, 2017.

Statement of Answer filed by Morgan Stanley on or about: January 25, 2018.  
Morgan Stanley signed the Submission Agreement: November 17, 2017.

Statement of Answer filed by TCM filed on or about: January 22, 2018.  
TCM signed the Submission Agreement: February 5, 2018.

Statement of Answer filed by Wiseman on or about March 15, 2018.  
Wiseman did not sign the Submission Agreement.

**CASE SUMMARY**

**17-00757:**

In the Statement of Claim, F. Bosh asserted causes of action against Morgan Stanley, Wiseman, Dykes, Augustus, Kratka, and Yost, including the following: breach of contract; fraud; violation of FINRA Rule 2010 and SEC Rule 102(e)(1)(ii); malice; negligence; gross negligence; reckless disregard; tortious interference; failures to execute; non-performance; fraudulent misrepresentation; intentional and malicious conduct, breach of fiduciary duties; negligent, fraudulent concealment tort of outrage for intentional infliction of emotional distress; and violation of antifraud provisions of securities laws and federal securities laws, rules, and regulation. The causes of action relate to F. Bosh's allegation that Morgan Stanley and Wiseman failed to execute her requests to transfer funds from accounts held in joint tenancy with her son, C. Bosh.

Unless specifically admitted in the Statement of Answer, Morgan Stanley, Dykes, Augustus, Kratka, and Yost denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

In her Amended Statement of Claim, F. Bosh asserted causes of action against Morgan Stanley, Wiseman, Dykes, and C. Bosh, including the following: violation of state law; unauthorized discretionary trading; omissions; gross negligence and bad faith actions; conspiracy; breach of contract, express and implied; and fraud. The causes of action relate to F. Bosh's allegations that, as joint tenants, F. Bosh and C. Bosh were equal owners of four Morgan Stanley accounts and that Morgan Stanley, Wiseman, Dykes, and C. Bosh allowed withdrawals to one joint interest owner in dispute with the other, contrary to industry standards and practice, as part of a conspiracy to seize F. Bosh's joint tenant ownership interest.

Unless specifically admitted in the Statement of Answer to F. Bosh's Amended Statement of Claim, Morgan Stanley and Dykes denied the allegations made in the Amended Statement of Claim and asserted various affirmative defenses.

Unless specifically admitted in the Statement of Answer to F. Bosh's Amended Statement of Claim, C. Bosh denied the allegations made in the Amended Statement of Claim and asserted various affirmative defenses.

In the Amended Statement of Claim/Answer, C. and A. Bosh asserted the following causes of action: breach of fiduciary duty (against Morgan Stanley and Wiseman), breach of written and oral contract (against Morgan Stanley and Wiseman), constructive fraud (against Morgan Stanley and Wiseman), conversion (against Morgan Stanley and F. Bosh), failure to supervise and control (against Morgan Stanley), and violation of FINRA Rules of Fair Practice and SEC Investment Advisor Act (Morgan Stanley and Wiseman). The causes of action relate to C. and A. Bosh's allegations that Morgan Stanley and Wiseman followed a strategy that primarily purchased fixed income securities which were not suitable for C. Bosh Claimants' primary investment objective of capital appreciation, charged inappropriate and excessive commissions, engaged in an unsuitable pattern of purchasing and selling unit investment trusts, and recommended unnecessary Portfolio Loan Accounts ("PLA") to them. C. Bosh Claimants also alleged that C. Bosh requested a freeze on all joint accounts at Morgan Stanley after money was withdrawn by F. Bosh without his permission, but, thereafter, Morgan Stanley wrongfully refused him access to the accounts. C. and A. Bosh also alleged that F. Bosh engaged in a scheme to defraud them of their money by passing the money through a complex sequence of banking transfers.

Unless specifically admitted in the Statement of Answer to C. and A. Bosh's Amended Statement of Claim/Answer, Morgan Stanley and Wiseman denied the allegations made in C. and A. Bosh's Amended Statement of Claim and asserted various affirmative defenses.

Unless specifically admitted in the Statement of Answer to C. [and A.] Bosh's Amended Statement of Claim/Answer, F. Bosh denied the allegations made in the Amended Statement of Claim/Answer and asserted an affirmative defense.

**17-02911:**

In the Statement of Claim, C. Bosh Claimants asserted causes of action against Morgan Stanley, TCM, and Wiseman, including the following: breach of fiduciary duty, breach of written and oral contract, constructive fraud, conversion (against Morgan Stanley only), failure to supervise and control (against Morgan Stanley and TCM only), and violation of FINRA Rules of Fair Practice and SEC Investment Advisor Act. The causes of action relate to C. Bosh Claimants' allegations that Morgan Stanley and Wiseman followed a strategy that primarily purchased fixed income securities which were not suitable for C. Bosh Claimants' primary investment objective of capital appreciation, charged inappropriate and excessive commissions, engaged in an unsuitable pattern of purchasing and selling unit investment trusts, and recommended unnecessary Portfolio Loan Accounts ("PLA") to them. C. Bosh Claimants also alleged that C. Bosh requested a freeze on all joint accounts at Morgan Stanley after money was withdrawn without his permission, but, thereafter, Morgan Stanley wrongfully refused him access to the accounts. C. Bosh Claimants further alleged that TCM also invested their assets primarily in inappropriate fixed income securities and TCM caused wrongful withdrawals and transfers of their money.

Unless specifically admitted in the Statement of Answer, Morgan Stanley denied the allegations made in C. Bosh Claimants' Statement of Claim and asserted various affirmative defenses.

Unless specifically admitted in the Statement of Answer, TCM denied the allegations made in C. Bosh Claimants' Statement of Claim and asserted various affirmative defenses.

Unless specifically admitted in the Statement of Answer, Wiseman denied the allegations made in C. Bosh Claimants' Statement of Claim and asserted various affirmative defenses.

### **RELIEF REQUESTED**

#### **17-00757:**

In the Statement of Claim, F. Bosh requested \$7,999,995.95 for breach of contract; \$750,000.00 for physical pain and suffering; \$23,999,999.85 for intentional infliction of emotional distress and negligent infliction of emotional distress; \$39,999,999.75 for punitive damages, totaling \$72,749,999.55; interest; filing fees; service fees; attorneys' fees; and an order for specific performance to cease and desist from violating F. Bosh's rights and to comply with all of her contractual rights.

In the Statement of Answer, Morgan Stanley, Dykes, Augustus, Kratka, and Yost requested that F. Bosh take nothing by reason of the Statement of Claim, that any reference to this matter be expunged from the registration records maintained by the Central Registration Depository ("CRD") for Dykes, Augustus, Kratka, and Yost, and whatever relief the Panel may deem appropriate.

In the Amended Statement of Claim, F. Bosh requested compensatory damages for the diminution of the four accounts by withdrawal since 2012, which deprived her of her joint ownership interest in the amount of \$6,700,000.00, and 50% of the balance in the four accounts, approximately \$3,000,000.00; plus non-economic damages for intentional infliction of emotional distress to an aged, sick woman as may be found by the Panel; unspecified punitive damages; attorneys' fees in the amount of \$1,000,000.00, which will be donated in its entirety; and all costs and expenses.

In the Statement of Answer to F. Bosh's Amended Statement of Claim, Morgan Stanley and Dykes requested that the Panel dismiss F. Bosh's Amended Statement of Claim in its entirety with prejudice, assess all form costs against F. Bosh, and grant such other and further relief as the Panel deems just and appropriate.

In the Statement of Answer to F. Bosh's Amended Statement of Claim, C. Bosh requested that F. Bosh's Amended Statement of Claim be denied in its entirety with prejudice and that an award be entered in his favor, including damages, attorneys' fees, costs, punitive damages, and such other relief as the Panel deems just under the circumstances.

In the Amended Statement of Claim/Answer, C. and A. Bosh requested general and compensatory damages in an amount not less than \$1,000,000.00, lost opportunity

costs, rescission, costs of proceedings, punitive damages (against Morgan Stanley only), interest at the legal rate on all sums recovered, attorneys' fees and costs, and such other and further relief as the Panel deems just and appropriate.

In the Statement of Answer to C. [and A.] Bosh's Amended Statement of Claim/Answer, Morgan Stanley and Wiseman requested that that the Panel dismiss C. [and A.] Bosh's Amended Claim in its entirety with prejudice, assess all forum costs against C. Bosh Claimants, recommend the expungement of this matter from Wiseman's registration records maintained by the CRD, and grant such other and further relief as the Panel deems just and appropriate.

In the Statement of Answer to C. [and A.] Bosh's Amended Statement of Claim/Answer, F. Bosh requested that C. and A. Bosh take nothing and such other relief in law and equity to which she may show herself justly entitled.

At the close of the hearing, C. Bosh requested damages in an amount between \$18,200,000.00 and \$28,000,000.00 based on a well-managed account theory.

**17-02911:**

In the Statement of Claim, C. Bosh Claimants requested general and compensatory damages in an amount not less than \$1,000,000.00, lost opportunity costs, rescission, costs of proceedings, punitive damages (against Morgan Stanley only), interest at the legal rate on all sums recovered, attorneys' fees and costs, and such other and further relief as the Panel deems just and appropriate.

In the Statement of Answer, Morgan Stanley requested that the Panel enter an award dismissing C. Bosh Claimants' Statement of Claim in its entirety with prejudice, assessing all forum costs against C. Bosh Claimants, and granting Morgan Stanley such other and further relief as the Panel deems just and appropriate

In the Statement of Answer, TCM requested that the Panel deny C. Bosh Claimants' Statement of Claim in its entirety with prejudice, enter an order to expunge any record of this matter from TCM's registration records maintained by the CRD, and order any other and further relief that the Panel deems just and equitable.

In the Statement of Answer, Wiseman requested that the Panel dismiss Claimants' claims and order that this matter be expunged from Wiseman's registration records maintained by the CRD.

**OTHER ISSUES CONSIDERED AND DECIDED**

The Arbitrators acknowledge that they have each read the pleadings and other materials filed by the parties.

Wiseman did not file with FINRA Office of Dispute Resolution a properly executed Submission Agreement but is required to submit to arbitration pursuant to the Code of Arbitration Procedure ("Code") and, having answered the claim and appeared and

testified at the hearing, is bound by the determination of the Panel on all issues submitted.

F. Bosh filed submissions with respect to amending her Statement of Claim on or about January 29, 2018 and February 1, 2018 without leave of the Panel, in contravention of Rule 12309(b) of the Code. The submissions were not admitted into the record.

F. Bosh filed a Motion for Leave to Amend Claim on or about February 9, 2018. The Amendment voluntarily dismissed Augustus, Kratka, and Yost as respondents to her claim and clarified that three other parties, who were not previously served, were also dismissed as respondents. No responses were filed. In its Order dated July 1, 2018, the Panel granted F. Bosh's Motion for Leave to Amend Claim and admitted F. Bosh's Amended Statement of Claim into the record. Accordingly, the Panel did not adjudicate any claims against Augustus, Kratka, or Yost.

On or about February 8, 2018, Morgan Stanley and Dykes filed a Motion to Combine Arbitration Nos. 17-00757 and 17-02911 ("Motion to Consolidate"). On or about February 12, 2018, F. Bosh filed a Motion to Consolidate Arbitration Nos. 17-00757 and 17-02911. On or about March 6, 2017, C. Bosh Claimants filed an Opposition to Motion to Consolidate. On or about March 13, 2018, F. Bosh filed a Reply to C. Bosh Claimants' Opposition to Motion to Consolidate. On or about March 15, 2018, Morgan Stanley and Dykes filed a Reply in Support of Motion to Consolidate. On or about May 15, 2018, C. Bosh Claimants filed a supplementary submission to their Opposition to Motion to Consolidate. The Panel heard oral arguments on consolidation on May 17, 2018. In its Order dated May 18, 2018, the Panel granted consolidation of Arbitration Nos. 17-00757 and 17-02911, and the two matters proceeded as Arbitration No. 17-00757.

On or about May 29, 2018, TCM filed a Motion for Clarification of the May 18, 2018 Order. On or about June 8, 2018, Morgan Stanley filed a Response to TCM's Motion for Clarification. On or about June 18, 2018, C. Bosh Claimants filed notice of joinder in TCM's Motion for Clarification. In its Order dated July 1, 2018, the Panel granted TCM's Motion for Clarification and ruled that the claims pending in Arbitration No. 17-02911 against TCM were not consolidated with Arbitration No. 17-00757. Accordingly, the Panel in Arbitration No. 17-00757 (as consolidated) did not adjudicate any claims against TCM, including TCM's request for expungement.

On or about June 22, 2018, C. Bosh Claimants filed a Motion to Bifurcate the Pending Claims to First Arbitrate the Issue of Ownership of the Morgan Stanley Joint Accounts ("Motion to Bifurcate"). On or about July 9, 2018, Morgan Stanley filed a Response to Motion to Bifurcate. On or about July 20, 2018, C. Bosh Claimants filed a Reply to Morgan Stanley's Response to Motion to Bifurcate. In its Order dated August 7, 2019, the Panel denied C. Bosh Claimants' Motion to Bifurcate.

On or about July 1, 2019, C. and A. Bosh filed a Motion to Amend Their Statement of Claim to add claims against F. Bosh. No response was filed. In its Order dated July 15, 2019, the Panel granted C. and A. Bosh's Motion to Amend Their Statement of Claim and admitted C. and A. Bosh's Amended Statement of Claim/Answer into the record.

On or about October 21, 2019, C. Bosh Claimants filed notice that Bosh Enterprises, CWB, CB1, Tie, and A. Bosh dismissed with prejudice all claims against Morgan Stanley and Wiseman. The notice further stated that all of the claims/counterclaims of C. Bosh would continue against Morgan Stanley, Wiseman, and F. Bosh.

On or about October 17, 2019, Morgan Stanley and Wiseman filed a Motion for Negative Inference or in the Alternative, Motion to Adjourn, Motion to Compel, and Request for Expedited Treatment ("Motion for Negative Inference"). On or about October 24, 2019, F. Bosh filed her Response to the Motion for Negative Inference. On or about October 24, 2019, C. Bosh filed his Response to the Motion for Negative Inference. In its Order dated October 28, 2019, the Panel determined that it would address the Motion for Negative Inference at the hearing.

On the record at the hearing, the Panel determined that the court reporter's transcript would be the official hearing record.

The Panel heard oral arguments on the Motion for Negative Inference. After due deliberation, the Panel denied the Motion for Negative Inference on the record.

Morgan Stanley, Wiseman, and Dykes moved for dismissal of F. Bosh's claims after the conclusion of F. Bosh's case-in-chief. The Panel heard arguments from F. Bosh and Morgan Stanley, Wiseman, and Dykes on the Motion to Dismiss. After due deliberation, the Panel denied the Motion to Dismiss on the record.

The hearing proceeded with the presentation of evidence by C. Bosh. At the conclusion of C. Bosh's case-in-chief, Morgan Stanley, Wiseman, and Dykes, moved for dismissal of F. and C. Bosh's claims ("Second Motion to Dismiss"). The Panel heard arguments from all parties on the Second Motion to Dismiss. After due deliberation, the Panel denied the Second Motion to Dismiss on the record and the hearing proceeded with the presentation of evidence by Morgan Stanley, Wiseman, and Dykes.

On the record at the hearing, F. Bosh and Morgan Stanley entered into a stipulation (1) as to the amounts in the remaining three accounts, ending in 9025, 9024, and 0071, which are held in the names of F. Bosh and C. Bosh as joint tenants with right of survivorship; (2) that Morgan Stanley will make no distribution until guided by the Panel as to who is entitled to possession of those funds; and (3) that all the investment advice in the joint accounts was appropriate and consistent with the objectives for the joint accounts.

Also, C. Bosh and Morgan Stanley entered into a stipulation that (1) C. Bosh requested the freeze in October 2010 in the joint accounts, (2) C. Bosh does not seek liability against Morgan Stanley for the freeze in the four joint accounts, (3) the stipulation does not affect C. Bosh's claims regarding how the accounts were invested from account conception up to December 2017, (4) C. Bosh directed the liquidation of the securities in the joint accounts in December 2017, and (5) Morgan Stanley will make no distribution from the joint accounts until guided by the Panel as to who is entitled to possession of those funds.



Augustus, Kratka, and Yost did not pursue their expungement requests. Accordingly, the Panel made no determination on the issue of expungement on their behalf.

The Panel conducted a recorded, telephonic hearing on January 8, 2020, so the parties could present oral argument and evidence on Wiseman's and Dykes' requests for expungement.

F. Bosh's counsel and C. Bosh's counsel participated in the expungement hearing on behalf of their clients. F. Bosh's counsel represented that she did not contest Dykes' or Wiseman's requests for expungement. C. Bosh's counsel represented that he did not contest Dykes' request for expungement but did contest Wiseman's request for expungement.

The parties present at the hearing have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

### **AWARD**

After considering the pleadings, the testimony and evidence presented at the hearing, and the post-hearing submissions, the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. All amounts held by Morgan Stanley in the accounts ending in 9025, 9024, and 0071, in the names of F. Bosh and C. Bosh, as joint tenants with right of survivorship, are awarded to C. Bosh. Morgan Stanley is instructed to remove F. Bosh's name from the accounts ending in 9025, 9024, and 0071, and to follow the instructions of C. Bosh alone, as to the management and/or distribution of the funds in these accounts. C. Bosh's claims are otherwise denied.
2. F. Bosh's claims are denied in their entirety.
3. Jeffrey David Wiseman's (CRD Number 2012653) request for expungement of the above-captioned arbitration (Occurrence Number 1957431) from his CRD records is denied.
4. Bradley James Dykes' (CRD Number 1220341) request for expungement of the above-captioned arbitration is dismissed without prejudice, as there is no occurrence listed in the BrokerCheck® Report for Dykes which is or could be subject to an expungement order.
5. Other than forum fees which are specified below, the parties shall each bear their own costs and expenses incurred in this matter.
6. Any and all claims for relief not specifically addressed herein, including punitive and exemplary damages, sanctions, and attorneys' fees, are denied.

## **FEES**

Pursuant to the Code, the following fees are assessed:

### **Filing Fees**

FINRA Office of Dispute Resolution assessed a filing fee\* for each claim:

Initial Claim Filing Fee (F. Bosh)	=\$ 2,250.00
Initial Claim Filing Fee (C. Bosh Claimants)	=\$ 2,000.00

*\*The filing fee is made up of a non-refundable and a refundable portion.*

FINRA Office of Dispute Resolution previously deferred F. Bosh's filing fee of \$2,250.00. Upon conclusion of the matter, the Panel determined to assess the non-refundable portion of the filing fee in the amount of \$750.00.

### **Member Fees**

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, as a party, Morgan Stanley is assessed the following:

Member Surcharge	=\$ 4,025.00
Member Process Fee	=\$ 7,000.00

### **Postponement Fees**

Postponement granted during these proceedings for which fees were assessed or waived:

<u>April 8-12 and 15-19, 2019, postponement by C. Bosh Claimants</u>	<u>=\$ 1,500.00</u>
Total Postponement Fees	=\$ 1,500.00

The Panel has assessed \$1,500.00 of the postponement fees jointly and severally to C. Bosh Claimants.

### **Discovery-Related Motion Fees**

Fees apply for each decision rendered on a discovery-related motion.

One (1) decision on a discovery-related motion on the papers with one (1) arbitrator @ \$200.00/decision	=\$ 200.00
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<u>Morgan Stanley submitted one (1) discovery-related motion</u>	
Total Discovery-Related Motion Fees	=\$ 200.00

The Panel has assessed \$200.00 of the discovery-related motion fees to Morgan Stanley.

### **Hearing Session Fees and Assessments**

The Panel has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

Five (5) pre-hearing sessions with the Panel @ \$1,500.00/session	= \$ 7,500.00
Pre-hearing Conferences: January 10, 2018	1 session
May 17, 2018	1 session
September 18, 2018	1 session
February 19, 2019	1 session
June 3, 2019	1 session
Thirteen (13) hearing sessions @ \$1,500.00/session	= \$ 19,500.00
Hearing Dates: November 5, 2019	2 sessions
November 6, 2019	2 sessions
November 7, 2019	2 sessions
November 11, 2019	2 sessions
November 12, 2019	2 sessions
November 13, 2019	2 sessions
November 14, 2019	1 session
One (1) hearing session on expungement request @ \$1,500.00/session	= \$ 1,500.00
Hearing Date: January 8, 2020	1 session
Total Hearing Session Fees	= \$ 28,500.00

The Panel has assessed \$4,020.00 of the pre-hearing session fees to F. Bosh.

The Panel has assessed \$1,740.00 of the pre-hearing session fees jointly and severally to C. Bosh Claimants.

The Panel has assessed \$11,490.00 of the pre-hearing and hearing session fees to Morgan Stanley.

The Panel has assessed \$9,750.00 of the hearing session fees to Wiseman.

The Panel has assessed \$750.00 of the hearing session fees on expungement to Dykes.

The Panel has assessed \$750.00 of the hearing session fees on expungement to Wiseman.

All balances are payable to FINRA Office of Dispute Resolution and are due upon receipt.

**ARBITRATION PANEL**

G. Maynard Green	-	Public Arbitrator, Presiding Chairperson
C. Sumpter Logan	-	Public Arbitrator
Robert R. Nursey	-	Non-Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

**Concurring Arbitrators' Signatures**

***G. Maynard Green***

\_\_\_\_\_  
G. Maynard Green  
Public Arbitrator, Presiding Chairperson

02/05/2020

\_\_\_\_\_  
Signature Date

***C. Sumpter Logan***

\_\_\_\_\_  
C. Sumpter Logan  
Public Arbitrator

02/06/2020

\_\_\_\_\_  
Signature Date

***Robert R. Nursey***

\_\_\_\_\_  
Robert R. Nursey  
Non-Public Arbitrator

02/06/2020

\_\_\_\_\_  
Signature Date

February 06, 2020

\_\_\_\_\_  
Date of Service (For FINRA Office of Dispute Resolution office use only)