

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00431

Rick Tyler, claimant vs. Dean Witter Reynolds, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se., Lubbock, TX.

For Respondent appeared in-house counsel, Keith Guilfoyle, Esq., New York, NY.

DATE FILED: February 1, 2000

CASE SUMMARY: Claimant alleged that respondent failed to properly execute a market order for 25 contracts of the November 144 QUE calls by using the wrong ticker symbol.

Claim Data

Claim: \$4,491.61
Filing Fees: \$170.00
Interest: \$.00

Award Data

Award: \$389.18
Filing Fees: \$170.00
Interest: @10% from
11/16/99 to date award
is paid

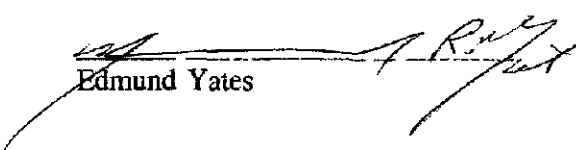
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$389.18. 2) Respondent is liable and shall pay to the claimant interest at 10% per annum from November 16, 1999 to the date the award is paid. 3) All other relief requests are denied. 4) The \$170.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay claimant \$170.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 00-00431

AFFIRMATION

I, Edmund Yates, 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.


Edmund Yates

December 13, 2000
Date of Award