

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00924

B. Wheatley Williams Trust, claimant vs. Dean Witter Reynolds, Inc., respondent.

ATTORNEYS:

For Claimant appeared Christopher D. Lonn, Esq. of the firm Titus, Brueckner & Berry, Scottsdale, AZ.

For Respondent appeared in-house counsel, Vincent J. LaGreca, New York, NY.

DATE FILED: March 2, 2000

CASE SUMMARY: *Claimant alleged that respondent provided unsuitable investment advice with respect to the purchase of high yield securities and dividend growth securities despite specific instructions to maintain the funds in a money market account.*

Claim Data

Claim: \$12,863.40
Punitive: unspecified
Atty Fees: \$2,500.00
Interest: unspecified
Filing Fees: \$425.00

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Interest: \$.00
Filing Fees: \$212.50

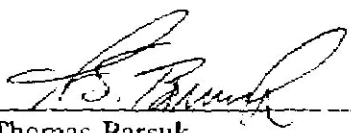
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondent liable and shall pay claimant \$212.50 as reimbursement for 50% of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-00924

AFFIRMATION

I, Thomas Barsuk, 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.



Thomas Barsuk

January 18, 2001

Date of Award