

Award
NASD Dispute Resolution, Inc.

In the Matter of the Arbitration Between: Tony Wong, Claimant v. Dean Witter Reynolds Inc.,
Respondent

Case Number: 00-02798

Hearing Site: Seattle, Washington

REPRESENTATION OF PARTIES

For Claimant:

John A. Bender, Jr.
Weiss Jensen Ellis & Howard
Seattle, Washington

For Respondent:

Anne T. Cooney
Morgan Stanley
San Francisco, California

CASE INFORMATION

Statement of Claim filed: June 8, 2000

Claimant's Uniform Submission Agreement signed: June 7, 2000

Statement of Answer filed by Respondent: June 4, 2001

CASE SUMMARY

Claimant alleged: breach of contract; transfer; and failure to execute.

Respondent denied the allegations of wrongdoing set forth in the Claimant's Statement of Claim and set forth affirmative defenses.

RELIEF REQUESTED

Claimant requested damages in the amount of \$10,000.00.

Respondent requested dismissal of the Claimant's Statement of Claim in its entirety.

OTHER ISSUES CONSIDERED AND DECIDED

Respondent Dean Witter Reynolds Inc. did not file with the NASD Dispute Resolution, Inc. a properly executed submission agreement but is required to submit to arbitration pursuant to the Code and having answered the claim and appeared and testified at the hearing, is bound by the determination of the Arbitrator on all issues submitted.

AWARD

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

- 1) Claimant Tony Wong's claim against Respondent Dean Witter Reynolds, Inc. is hereby denied.
- 2) Each party shall bear its own costs, including attorney's fees.
- 3) All other relief not expressly granted is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution, Inc. received or will collect the non-refundable filing fees for each claim as follows:

Initial claim filing fee	= \$ 75.00
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Member Fees

Member fees are assessed to each member firm that is either a party in the matter or an employer of a respondent associated person at the time of the events which gave rise to the dispute, claim, or controversy. Accordingly, the member firm Dean Witter Reynolds Inc. is a party and the following fees are assessed:

Member Surcharge	= \$ 300.00
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Forum Fees and Assessments

The Arbitrator assessed a forum fee for each pre-hearing conference or hearing session conducted. A pre-hearing conference and hearing session is any meeting between the parties and the Chair/Panel. The following fees are assessed:

(1) Pre-hearing conference session with a single arbitrator @ \$ 250.00/session = \$ 250.00
Pre-hearing conference: March 1, 2001 1 session

(1) Hearing session @ \$250.00/session = \$ 250.00
Hearing: June 21, 2001 1 session

Total Forum Fees = \$ 500.00

1. The Arbitrator assessed \$ 250.00 of the forum fees to Claimant Tony Wong.
2. The Arbitrator assessed \$ 250.00 of the forum fees to Respondent Dean Witter Reynolds Inc..

Fee Summary

1. Claimant, Tony Wong, is charged with the following fees and costs:

Initial Filing Fee	= \$ 75.00
<u>Forum Fees</u>	= \$ 250.00
Total Fees	= \$ 325.00
<u>Less Payments</u>	= \$ (525.00)
Refund Due Claimant	= \$ (200.00)

2. Respondent, Dean Witter Reynolds Inc., is charged with the following fees and costs:

Member Fees	= \$ 300.00
<u>Forum Fees</u>	= \$ 250.00
Total Fees	= \$ 550.00
<u>Less Payments</u>	= \$ (3,800.00)
Refund Due Respondent	= \$ (3,250.00)

All balances are payable to NASD Dispute Resolution, Inc. and are payable upon the receipt of the Award pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

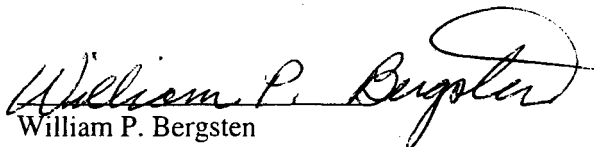
William P. Bergsten

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Public Arbitrator, Presiding Chair

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Arbitrators' Signature


William P. Bergsten
Chair, Public Arbitrator

Aug. 2, 2001
Signature Date

Date Served:
AUG - 6 2001

Date of Service