

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00231

Curt Anthony Miles, claimant vs. Morgan Stanley Dean Witter, Inc., respondent.

ATTORNEYS:

Claimant appeared *Pro Se*, Sherman Oaks, CA.

For Respondents appeared David P. Restaino, Esq., in-house counsel, New York, NY.

DATE FILED: January 17, 2001.

CASE SUMMARY: Claimant alleged that respondent made unauthorized margin trades of the Osicom Technologies stock in his IRA and Roth IRA accounts.

Claim Data

Claim: \$1,372.95
Punitive: \$1,000.00
Filing Fees: \$75.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$50.00

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 claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents shall pay claimant \$50.00 as reimbursement of part of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has not paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

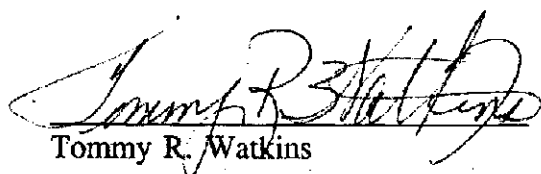
Page Two
Award 01-00231

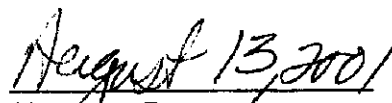
Tommy R. Watkins

Sole Public Arbitrator

AFFIRMATION

I, Tommy R. Watkins, 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.


Tommy R. Watkins


Signature Date

August 29, 2001
Date of Service (for NASD Office Use Only)