

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-00284

Wayne Goldstein, claimant vs. Morgan Stanley Dean Witter Online, respondent.

ATTORNEYS:

Claimant appeared Pro Se, Rutherford, NJ.

For Respondents appeared Judith M. Rosenberg, Esq., in-house counsel, San Francisco, CA.

DATE FILED: January 18, 2001

CASE SUMMARY: Claimant alleged that respondents liquidated his margin account without any notification creating a margin call thereby causing a loss in his account.

Claim Data

Claim: \$9,497.00
Filing Fees: \$325.00
Other: \$.00

Award Data

Award: \$.00
Filing Fees: \$.00
Other: \$.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 other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 01-00284

Victoria Anne Kummer, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Victoria Anne Kummer, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein who executed this instrument, which is my oath and award.



Victoria Anne Kummer, Esq.

10/19/01
Signature Date

November 9, 2001
Date of Service (For NASD-DR office use only)