

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-02258

Thomas C. Fiorentino, claimant vs. Michael Halfon and Morgan Stanley Dean Witter, respondents.

ATTORNEYS:

Claimant appeared pro se, Tarrytown, NY.

For Respondents appeared Douglas F. Stone, Esq., in-house counsel, New York, NY.

DATE FILED: May 2, 2001

CASE SUMMARY: Claimant alleged that respondents purchased shares of CMTN stock without his knowledge or authorization. Claimant maintained that as a result of respondents' actions, his account sustained losses.

Claim Data

Claim: \$7,682.98
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$4,000.00
Filing Fees: \$162.50
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$4,000.00. 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. 4) Respondents are jointly and severally liable and shall pay claimant \$162.50 as reimbursement of one half of the filing fee.

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

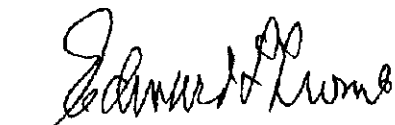
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Award 01-02258

Edward L. Levine, Esq.

Sole Public Arbitrator

AFFIRMATION

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



Edward L. Levine, Esq.



Signature Date

March 7, 2002

Date of Service (For NASD-DR office use only)