

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-05135

Jonathan ("Jon") E. Schuetz, claimant vs. Morgan Stanley Dean Witter & Co, (aka Morgan Stanley) and Jim Williams, respondents.

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**ATTORNEYS:**

For Claimant appeared Donald M. Feferman, Esq., Corpus Christi, TX.

For Respondents appeared in-house counsel, Richard Smith, Esq., New York, NY.

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**DATE FILED:** August 30, 2002

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**CASE SUMMARY:** Claimant alleged that respondents recommended and purchased investments unsuitable for an IRA account. Claimant maintained that due to respondents' actions, his account suffered losses.

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**Claim Data**

Claim: \$25,000.00  
Attorney Fees: \$7,425.00  
Filing Fees: \$425.00

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**Award Data**

Award: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$212.50

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**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 other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondents are jointly and severally liable and shall pay claimant \$212.50 as reimbursement of one-half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Morgan Stanley Dean Witter & Co. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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**OTHER ISSUES:** Respondent Jim Williams' request that this matter be expunged from his record was denied by the arbitrator.


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Award 02-05135

Robert D. Greenlee

Sole Public Arbitrator

**AFFIRMATION**

I, Robert D. Greenlee, 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.

  
Robert D. Greenlee

3-07-03  
Signature Date

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