

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-07620

Michael Goeben, Claimant vs. Morgan Stanley Dean Witter Online d/b/a Morgan Stanley DW, Inc., Respondents.

ATTORNEYS:

Claimant, Michael Goeben, ("Claimant") appeared pro se., Green Bay, WI.

Respondent, Morgan Stanley Dean Witter Online d/b/a Morgan Stanley DW, Inc. ("Respondent") appeared through its in-house counsel, Judith M. Rosenberg, Esq., San Francisco, CA.

DATE FILED: December 17, 2002

CASE SUMMARY: Claimant alleged that Respondent illegally approved and executed transactions in his margin account on margin insufficient to meet the credit extension requirements, and in violation of Regulation T. Claimant maintains that due to Respondent's actions, he suffered financial losses.

Claim Data

Claim: \$23,617.11
Interest: Unspecified
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Filing Fees: \$212.50
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All requests for interest 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) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Morgan Stanley Dean Witter Online d/b/a Morgan Stanley DW, Inc., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 02-07620

Larry Carlson

Sole Public Arbitrator

AFFIRMATION

I, Larry Carlson, Esq., 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.



Larry Carlson, Esq.

23 June 2003
Signature Date

July 9, 2003
Date of Service (For NASD-DR office use only)