

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-00742

Larry C. McGuire and June A. McGuire, Claimants vs. Morgan Stanley Dean Witter, Inc.,
Respondent.

ATTORNEYS:

Claimants, Larry C. McGuire and June A. McGuire (collectively "Claimants") appeared pro se.,
Wayzata, MN.

Respondent, Morgan Stanley Dean Witter, Inc., ("Respondent") appeared through its in-house
counsel, Keith Guilfoyle, Esq., New York, NY.

DATE FILED: January 31, 2003

CASE SUMMARY: Claimants alleged that Respondent breached its fiduciary duty, omitted and
misrepresented facts to them concerning their joint trust account. Claimants further alleged that
Respondent placed their account in unsuitable investment funds. Claimants maintained that due
to Respondent's actions, they suffered financial losses.

Claim Data

Claim: \$18,570.00
Filing Fees: \$425.00
Other: Unspecified

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 Claimants are dismissed in
their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously
deposited with NASD Dispute Resolution by the Claimants, shall be retained by NASD Dispute
Resolution.

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

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Award 03-00742

Edward A. Horton

Sole Public Arbitrator

AFFIRMATION

I, Edward A. Horton, 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.



Edward A. Horton

08.11.03

Signature Date

September 9, 2003

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

