

**NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**

In the Matter of the Arbitration Between :  
:  
Carl J. Ferreira :  
:  
:  
Claimant :  
:  
Case #86-00360 :  
:  
vs. :  
:  
AWARD :  
:  
:  
Dean Witter Reynolds, Inc. and :  
:  
Veronica McNulty :  
:  
:  
Respondents :  
:

### CASE SUMMARY

The undersigned, being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to Arbitration signed by the Claimant, Carl J. Ferreira on March 15, 1986 and by Respondent, Dean Witter Reynolds, Inc. on May 15, 1986, and by Respondent, Veronica McNulty on April 24, 1986;

And, that having reviewed and considered the proofs of the Parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondents shall be liable jointly and severally and shall pay to the Claimant the sum of Two Hundred Twenty Five Dollars and No Cents (\$225.00) plus interest at the current legal rate from February 14, 1986 through the date of payment of this award;

And, that each party shall bear its own costs and expenses including attorney's fees;

And, that the \$15.00 filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be retained by the National Association of Securities Dealers, Inc.

Dated: October 23rd, 1989