

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between

Frederick and Sharon Chantler

Claimant(s)

vs.

CASE #87-02343

AWARD

Dean Witter Reynolds
and Jeffrey Turk

Respondent(s)

Heard before the Members of the Arbitration Panel:

Leonard Greenwold

On May 12, 1989 the arbitrator heard the controversy between the parties as set forth in submissions to arbitration signed by Claimant(s) on September 2, 1987, by Respondent Dean Witter Reynolds on February 10, 1988 and by Respondent Jeffrey Turk in the presence of the Arbitrator on May 12, 1989. The arbitrator, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted for determination as follows:

1. Respondents Dean Witter Reynolds and Jeffrey Turk are liable for and shall pay to Claimants the sum of One Thousand Two Hundred Sixty Five Dollars and Sixty Cents (\$1,265.60). Said liability is joint and several.
2. The parties shall each bear their respective costs including attorneys' fees.
3. Pursuant to Section 43 of the National Association of Securities Dealers, Inc. (NASD) Code of Arbitration Procedure, the NASD shall retain the \$100.00 filing fee previously deposited by the Claimants. Respondents Dean Witter Reynolds and Jeffrey Turk shall reimburse \$100.00 to Claimants. Said liability is joint and several.

San Francisco, CA

Date Served: June 22, 1989