

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James A. LaBelle, as Custodian for
Lisa Rae LaBelle and
Kelly Ann LaBelle

Claimant(s)

vs.

Dean Witter Reynolds, Inc.
and Jonathan Neal

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-00065

CASE SUMMARY

Claimant(s) James A. LaBelle, as Custodian for Lisa Rae LaBelle and Kelly Ann LaBelle alleged that Respondent(s) Dean Witter Reynolds, Inc. and Jonathan Neal committed unauthorized trades in Claimant's account with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) James A. LaBelle, as Custodian for Lisa Rae LaBelle and Kelly Ann LaBelle requested damages of Four Thousand Five Hundred Forty Dollars and No Cents (\$4,540.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Thomas B. Corey, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on December 22, 1988 and by Respondent(s) on May 23, 1988. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim against the Respondent shall be dismissed in its entirety.

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

August 18, 1989