

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

George F. Kish

Claimant(s)

vs.

Dean Witter Reynolds, Inc.,  
Burton J. Bloch, Joseph M. Bonanno,  
and Michael J. O'Brien

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
89-01032

CASE SUMMARY

Claimant(s) George F. Kish alleged that Respondent(s) Dean Witter Reynolds, Inc., Burton J. Bloch, Joseph M. Bonanno, and Michael J. O'Brien negligently mishandled Claimant's account held with Respondents. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) George F. Kish requested damages of Nine Hundred Eighteen Dollars and No Cents (\$918.00) plus reimbursement of lost interest and expenses. 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, Richard C. Moenning, 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 April 1, 1989 and by Respondent(s) on June 21, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

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

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

NASD Arbitration Award  
Case No. 89-01032  
Page 2

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

February 26, 1990