

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Guta Kafka

Claimant(s)

vs.

Dean Witter Reynolds, Inc.
and William Scanlon

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01263

CASE SUMMARY

Claimant(s) Guta Kafka alleged that Respondent(s) Dean Witter Reynolds, Inc. and William Scanlon negligently mishandled Claimant's account held with Respondent. Respondent(s) deny Claimant's allegations.

RELIEF REQUESTED

Claimant(s) Guta Kafka requested damages of Two Thousand Two Hundred Twenty Six Dollars and No Cents (\$2,226.00). 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, William Zysk, 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 12, 1989 and by Respondent(s) on June 16, 1989. 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 \$25.00 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