

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

David L. Jenson

Claimant(s)

vs.

Dean Witter Reynolds, Inc.

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-02942

CASE SUMMARY

Claimant(s) David L. Jenson alleged that Respondent(s) Dean Witter Reynolds, Inc. failed to execute Claimant's sell order on a timely basis. Respondent denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) David L. Jenson requested damages of Two Thousand One Hundred Eighty Seven Dollars and No Cents (\$2,187.00). 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, Roneé C. McLaughlin, 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 September 20, 1989 and by Respondent(s) on December 27, 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:

That the Respondent is liable and will pay to the Claimant the sum of Nine Hundred Dollars and No Cents (\$900.00).

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) will be refunded to the Claimant by the Respondent.

March 6, 1990