

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Dean Witter Reynolds, Inc.

Claimant(s)

vs.

Jean Yarbrough

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
89-03156

CASE SUMMARY

Claimant(s) Dean Witter Reynolds, Inc. alleged that Respondent(s) Jean Yarbrough refused to repay an amount which was erroneously credited to her account. Respondent did not defend.

RELIEF REQUESTED

Claimant(s) Dean Witter Reynolds, Inc. requested damages of Three Thousand Three Hundred Eighty One Dollars and Twenty Cents (\$3,381.20).

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 October 27, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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 Three Thousand Three Hundred Eighty One Dollars and Twenty Cents (\$3,381.20).

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

The \$600.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

February 26, 1990