

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Dean Witter Reynolds, Inc.

Claimant(s)

vs.

Patrick Rosenauer

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD

89-03157

CASE SUMMARY

Claimant(s) Dean Witter Reynolds, Inc. alleged that Respondent(s) Patrick Rosenauer failed to pay for securities that he had purchased. Respondent did not respond.

RELIEF REQUESTED

Claimant(s) Dean Witter Reynolds, Inc. requested damages of Five Thousand Thirteen Dollars and No Cents (\$5,013.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Francis J. Daley, 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 November 2, 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:

The Respondent shall be liable to the Claimant for the total amount of Five Thousand Thirteen Dollars and No Cents (\$5,013.00).

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

The \$700.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD, Inc. as costs of this proceeding.

February 13, 1990