

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between
Janet Goodwin

Claimant(s)

vs.

William Schreyer, Joseph A. Stoll
and Anthony S. Tedtaotao

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
90-01113

CASE SUMMARY

Claimant(s) Janet Goodwin alleged that Respondent(s) William Schreyer, Joseph A. Stoll and Anthony S. Tedtaotao failed to invest Claimant's funds in the securities specified by Claimant, assured Claimant of a higher rate of return than that which was actually received by Claimant and failed to provide proper account service. Respondent(s) maintain that at all times they acted in good faith in a commercially reasonable manner with respect to Claimant's account. Additionally, Respondent William Schreyer entered a motion to dismiss the instant claim against him in his individual capacity and requested such motion be considered prior to any decision regarding the claim.

RELIEF REQUESTED

Claimant(s) Janet Goodwin requested damages of Ten Thousand Dollars and No Cents (\$10,000.00). Respondent(s) requested dismissal of claim and costs, and entered a motion to dismiss the claim against Respondent William Schreyer in his individual capacity.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Delores I. Smith, 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 11, 1990 and by Respondent(s) on May 30, 1990, respectively;

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

Notice of Arbitration Award
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That Respondent William Schreyer's motion to dismiss Claimant's claim against him prior to the Arbitrator's consideration of the claim is denied, and;

Upon consideration of all pleadings and documents submitted by the Claimant and each of the Respondents, the claim of the Claimant is hereby dismissed in all respects.

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

The \$200.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 22, 1990

Note: Fill out only those sections which apply to this particular case: Case Number 90-01113:

- 1) Case Dismissed X
- 2) Find for the Claimant
(a) total amount of the award: \$ _____
(b) if two or more respondents are liable:
(1) joint and severally liable: yes _____ no _____
(2) if respondents separately liable
list party and the amounts: _____

- 3) Counterclaim of Respondent
(a) total amount of award: \$ _____
(b) party to receive award: _____
(c) counterclaim dismissed: _____
- 4) Punitive Damages
(a) total amount \$ _____
(b) name parties against whom damages are to be
assessed and in what amounts: _____

- (c) claim dismissed: X
- 5) NASD Fee
(a) assessed against Claimant X
(b) assessed against Respondent
- 6) Use this space to expand or clarify any part of the decision above or to indicate other forms of specific relief.

Respondent William Schreyer's (Schreyer) motion to dismiss claimant Janet Goodwin's (Goodwin) claim against him prior to the arbitrator's consideration of Goodwin's claims against respondents Joseph A. Stoll (Stoll) and Anthony S. Tedtaotao (Tedtaotao) is denied.

Upon consideration of all pleadings and documents submitted by the claimant and each of the respondents, the entire case is dismissed. Respondents Schreyer, Stoll, and Tedtaotao are therefore released from liability in this matter.

Affirmation

STATE OF CALIFORNIA

} SS:
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COUNTY OF LOS ANGELES

I, Delores I. Smith, do hereby affirm upon my oath as arbitrator that I am the individual described in and who executed this instrument, which is my oath and award.

October 17, 1990

(DATE)

Delores I. Smith

(SIGNATURE OF ARBITRATOR)