

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between :
:
Muriel T. Poss :
:
: Claimant : CASE #90-01819
: AWARD
vs. :
:
Dean Witter Reynolds, Inc. :
Alan Sherman :
:
: Respondents :

CASE SUMMARY

Muriel T. Poss, in a claim filed with the National Association of Securities Dealers, Inc. on June 27, 1990, alleged that Respondents misrepresented the safety of and the return on her IRA account and invested her retirement monies in an unsuitable investment resulting in a decrease of possible earnings.

Respondents, Dean Witter Reynolds, Inc. and Alan Sherman, maintained that Claimant was fully informed of the increased risks involved with increased profits and that Claimant was financially capable of accepting this risk.

RELIEF REQUESTED

Claimant requests damages of Four Thousand Eight Hundred Dollars and No Cents (\$4,800.00)

Respondents request dismissal of the claim, costs and expenses.

AWARD

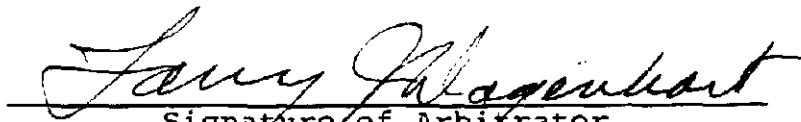
Pursuant to Section 13 of the National Association of Securities Dealers, Inc. Code of Arbitration Procedure, a single Public Arbitrator, Larry J. Dagenhart, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on July 11, 1990 and by the Respondent Dean Witter Reynolds, Inc. on August 21, 1990 and by the Respondent Alan Sherman on August 27, 1990;

And, that the Arbitrator, having considered the proof of the Parties, has decided and determined in full and final resolution of the issues submitted for determination as follows

1. That the claim of Muriel T. Poss be and hereby is dismissed in its entirety.
2. The parties shall bear their respective costs including attorney's fees.
3. The One Hundred Twenty-Five Dollars and No Cents (\$125.00) filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant is assessed against the Respondents and payable, jointly and severally, by Respondents, to Claimant.

AFFIRMATION

I, Larry J. Dagenhart, Esq., do hereby affirm upon my oath as arbitrator that I am the individual described herein and who executed this instrument, which is my oath and award.


Signature of Arbitrator

DATED: 1/14/91