

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between	)	
Sybil C. Mathews	)	
	)	
Claimant	)	
	)	AWARD
vs.	)	
	)	NASD #90-01886
Dean Witter Reynolds, Inc.	)	
John Weaver	)	
	)	
Respondents	)	

SUMMARY OF ISSUES

Claimant alleged an unauthorized redemption by Respondents of her Government Plus mutual fund shares and a subsequent unauthorized purchase of High Yield mutual fund shares with the proceeds.

Respondents denied Claimant's allegations, and asserted that all transactions were fully explained to Claimant and specifically authorized by her.

DAMAGES AND RELIEF REQUESTED

Claimant requested damages of \$26,152.19.

Respondents requested dismissal of all claims.

DAMAGES AND RELIEF AWARDED

This claim was filed with the NASD on July 3, 1990. On February 4, 1991, the undersigned arbitrator heard the controversy between the parties as set forth in submissions to arbitration signed by Claimant on June 28, 1990, by an authorized representative of Dean Witter Reynolds on August 10, 1990, and by John Weaver on August 10, 1990. The hearing was conducted in Seattle, Washington and lasted two (2) sessions. The arbitrator, having considered the pleadings, the testimony, and the evidence presented at the hearing, has determined in full and final resolution of the issues submitted as follows:

1. All claims brought by Claimant are dismissed.
2. The parties shall each bear their respective costs including attorneys' fees.

3. In accordance with Section 43 of the NASD Code of Arbitration Procedure, the NASD shall retain the \$400.00 filing fee previously deposited by the Claimant.

OTHER ISSUES

None.

DATE SERVED: 2/19/91

  
Robert M. Stein