

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: RODGER T. HAWTHORNE V. DEAN WITTER REYNOLDS, INC.

Case Id # 92-05

DATE FILED: 1/17/90 FIRST SCHEDULED 10/14/91 DECIDED 2/10/92

CASE SUMMARY: * Customer v. Member arbitration. Customer alleges that firm
cancelled an open option order without his permission.

CLAIMANT'S INITIALS _____ RESPONDENT'S _____ THIRD PARTY'S INITIALS _____

SESSIONS: Decision Based on the Pleadings.

CLAIM AND AWARD DATA:

CLAIM	<u>\$14,000.00</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>Denied</u>
PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>
ATTY FEES	<u>N/A</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>N/A</u>
DEPOSIT	<u>\$400.00</u>	DEPOSIT		DEPOSIT	
COSTS		COSTS		COSTS	<u>\$400.00</u>

DECISION: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that:"

THAT Claimant's claim is denied;

THAT the costs of the arbitration, \$400, shall be borne by Respondent
Dean Witter Reynolds, Inc., who shall remit the sum of \$400 directly
to Claimant as reimbursement of his initial filing fee.

ATTORNEY: Rodger T. Hawthorne - Claimant - Pro-Se
Richard A. Bogoff, Esq. - Respondent's Counsel - Dean Witter Reyno
(San Francisco, California)

ARBITRATORS **

MARTIN J. SIEGEL, ESQ., SOLE ARBITRATOR


SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK DATE: 2/10/92

* Additional pages may be attached.
** (Dissents)