

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: WILLIAM & GLORIA HUMPHREYS V. DEAN WITTER REYNOLDS, INC., & ROBERT KOOP

Case Id # 93-07

DATE FILED: 9/24/92 FIRST SCHEDULED 3/9/93 DECIDED 5/14/93

CASE SUMMARY: * Customer v. member arbitration. Claimants allege unsuitability, negligence
and misrepresentation regarding Common Wealth Mortgage of America Limited
Partnership.

CLAIMANT'S INITIALS Ruk RESPONDENT'S zba THIRD PARTY'S INITIALS _____
SECTIONS: 1-4

CLAIM AND AWARD DATA:

CLAIM	<u>\$45,000.00</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>Requested</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>Denied</u>
DEPOSIT	<u>\$520.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	
COSTS	<u>\$340.00</u>	COSTS	<u>\$860.00</u>	COSTS	<u>\$1,720.00</u>

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

THAT the Claimants' claims against Dean Witter Reynolds are denied;

THAT the Claimants' claim against Robert Koop is denied;

THAT the Claimants' request for attorney fees is denied;

THAT the cost of the arbitration, \$1,720, shall be shared by both parties. The Claimants have
already paid the sum of \$520 as their original filing fee and shall remit the balance of the
monies owed, \$340, directly to the Amex. The Respondents shall remit, in the aggregate, the
sum of \$860 directly to the Exchange.

ATTORNEY: Alfred S. Koffler, Esq. - Caron & Koffler - Representing Claimants' - Hicksville, N
Elizabeth Hill, Esq. - Dean Witter Reynolds, Inc., - Representing Respondents'
New York, NY.

ARBITRATORS **

Edward Mandell, Esq., Chairman

Cecilia B. Loving-Sloane, Esq.

Theodore Kimmelman

CITY New York STATE New York

DATE: 5/29/93

* Additional pages may be attached.

** (Dissents)

Howard Monceep
SIGNATURE
Cecilia B. Loving-Sloane
SIGNATURE
Theodore Kimmelman
SIGNATURE