

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE:99-00719

Cecil D. Dooling and Suzanne Ferretti, claimants vs. Randy Friedlander and Dean Witter Reynolds Inc., respondents.

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**ATTORNEYS:**

Claimants appeared Pro Se, North Lauderdale, FL.

For Respondents appeared Jon Jacobson, Esq. of the firm Steel, Hector & Davis LLP, West Palm Beach, FL.

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**DATE FILED:** February 17, 1999

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**CASE SUMMARY:** Claimant alleged that respondents recommended securities that were unsuitable to claimant's investment objective. Claimant further alleged breach of fiduciary duty.

**COUNTERCLAIM SUMMARY:** Respondents filed and sought a declaratory award that the claims are ineligible for arbitration.

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**Claim Data**

Claim: \$25,000.00

**Award Data**

Award: \$.00

**Counterclaim Data**

Claim: Declaratory Judgement  
Other: unspecified

**Counterclaim Award Data**

Award: Dismissed  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

**COUNTERCLAIM AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The counterclaim of respondents are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$1,100.00 counterclaim filing fee deposited with NASD Dispute Resolution, Inc. by the respondents/counterclaimants shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Dean Witter Reynolds, Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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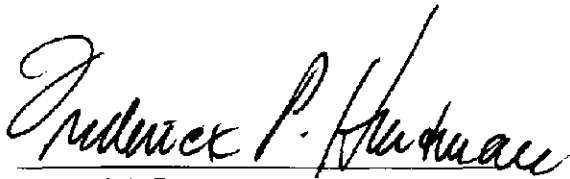
Frederick P. Hartman, CPA

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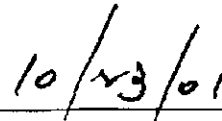
Sole Public Arbitrator

**AFFIRMATION**

I, Frederick P. Hartman, CPA, do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.



Frederick P. Hartman, CPA



Signature Date

October 31, 2001

Date of Service (For NASD-DR office use only)