

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

CASE: 99-04568

Robert F. Roth, claimant vs. Morgan Stanley Dean Witter, nka Dean Witter Reynolds, Inc.,  
respondent

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**ATTORNEYS:**

Claimant appeared Pro Se, Union, NJ.

Respondent appeared through its in-house counsel, Douglas F. Stone, Esq., New York, NY.

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**DATE FILED:** October 8, 1999

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**CASE SUMMARY:** Claimant maintained that he traded options in his account for a number of years. Claimant alleged that respondent eliminated his Textron, Inc. call options positions without his authorization. Claimant maintained that respondent never had any discretionary trading rights in his account, and should reimburse him for the loss he suffered.

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**Claim Data**

Claim: \$13,478.00  
Filing Fees: \$425.00

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**Award Data**

Award: \$.00  
Filing Fees: \$.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 \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 99-04568

AFFIRMATION

I, Alexander Forti, 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.

A handwritten signature in cursive script, reading "Alexander Forti", written over a horizontal line.

Alexander Forti

March 12, 2001

Date of award