

**N.A.S.D. REGULATION AWARD**  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 99-05082

Lucien L. Bass, III, claimant vs. Dean Witter Reynolds Inc., d/b/a Morgan Stanley Dean Witter, respondent.

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**ATTORNEYS:**

For Claimant Lucien L. Bass, III ("Claimant"), Reginald F. Combs, Esq., Blaco Tackabery Combs & Matamoros, P.A., Winston-Salem, NC.

For Respondent Dean Witter Reynolds Inc., d/b/a Morgan Stanley Dean Witter ("Respondent"), Paul G. Thomas, Law Department of Dean Witter Reynolds, New York, NY.

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**DATE FILED:** 11/11/1999

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**CASE SUMMARY:** Claimant alleged that as a result of Respondent's posting error, his order to liquidate MSDW Dividend Growth Fund was delayed, and therefore he incurred financial loss.

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**ARBITRATOR REPORT:** Claimant offered no specific proof that the Respondent intentionally or inadvertently acted improperly in executing the sale of MSDW Dividend Growth Fund shares in a timely manner.

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**Claim Data**

Claim: \$16,552.15  
Interest: on the principal sum,  
accruing from August 26, 1998,  
until the award is paid  
Atty Fees: unspecified  
Filing Fees: unspecified  
Costs: unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
  
Atty Fees: \$.00  
Filing Fees: \$.00  
Costs: unspecified

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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 requests for interest are hereby denied. 3) All requests for attorney fees are hereby denied. 4) All other relief requests are hereby denied. 5) The \$425.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

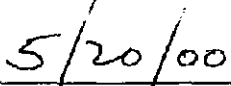
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Page Two  
Award 99-05082

**AFFIRMATION**

I, John F. Adcock, 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.

  
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John F. Adcock

  
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Date of award