

Award
NASD Dispute Resolution, Inc.

In the Matter of the Arbitration Between:

Dean Witter Reynolds, Inc., Claimant v. Rebecca A. Hooker, Respondent

Case Number: 99-05185

Hearing Site: Los Angeles, California

REPRESENTATION OF PARTIES

For Claimant:

Sue Junn, Esq.
Kern & Gonzalez
Los Angeles, California

For Respondent:

Richard J. Papst, Esq.
Law Offices of
Richard J. Papst
Bakersfield, California

CASE INFORMATION

Statement of Claim filed: November 15, 1999

Claimant's Uniform Submission Agreement signed: October 26, 1999

Statement of Answer filed by Respondent: January 24, 2000

Respondent's Uniform Submission Agreement signed: January 4, 2000

CASE SUMMARY

Claimant alleged Respondent breached her employment agreement by failing to re-pay the cost of her training.

Respondent denied the allegations of wrongdoing set forth in the Claimant's Statement of Claim.

RELIEF REQUESTED

Claimant requested compensatory damages in the sum of \$28,000.00, costs, and attorney's fees.

Respondent requested dismissal of the Claimant's Statement of Claim in its entirety, and sought an award for costs and attorney's fees.

OTHER ISSUES CONSIDERED AND DECIDED

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, testimony, and evidence presented at the hearing, the Panel decided in full and final resolution of the issues submitted for determination as follows:

- 1) Respondent is liable to and shall pay Claimant the sum of \$28,000.00 in compensatory damages.
- 2) Respondent is liable to and shall pay Claimant interest of \$5,880.00.
- 3) Each party shall bear its own costs, including attorney's fees.
- 4) All other relief not expressly granted is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution, Inc. received or will collect the non-refundable filing fees for each claim as follows:

Initial claim filing fee	= \$ 1,000.00
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Member Fees

Member fees are assessed to each member firm that is either a party in the matter or an employer of a respondent associated person at the time of the events which gave rise to the dispute, claim, or controversy. Accordingly, the member firm Dean Witter Reynolds, Inc. is a party and the following fees are assessed:

Member Surcharge	= \$ 600.00
Pre-Hearing Process Fee	= \$ 600.00
Hearing Process Fee	= \$ 1,000.00
Total Member Fees	= \$ 2,200.00

Adjournment Fees

The following adjournment fees are assessed:

Request by: Claimant
Hearing Dates: December 4, 2000
Fee assessed to: Claimant = \$ 600.00

Forum Fees and Assessments

The Panel assessed a forum fee for each pre-hearing conference or hearing session conducted. A pre-hearing conference and hearing session is any meeting between the parties and the Panel. The following fees are assessed:

(1) Pre-hearing conference session with the Panel @ \$600.00/session	= \$ 600.00
Pre-hearing conference: July 11, 2000 1 session	
(2) Hearing sessions @ \$600.00/session	= \$ 1,200.00
Hearings: January 16, 2001 2 sessions	
<hr/> Total Forum Fees	<hr/> = \$ 1,800.00

1. The Panel assessed \$ 900.00 of the forum fees to Claimant Dean Witter Reynolds, Inc.
2. The Panel assessed \$ 900.00 of the forum fees to Respondent Rebecca A. Hooker.

Fee Summary


1. Claimant, Dean Witter Reynolds, Inc. is charged with the following fees and costs:

Initial Filing Fee	= \$ 1,000.00
Member Fees	= \$ 2,200.00
Adjournment Fee	= \$ 600.00
Forum Fees	= \$ 900.00
<hr/> Total Fees	<hr/> = \$ 4,700.00
Less Payments	= \$(4,400.00)
Balance Due NASD Dispute Resolution, Inc.	= \$ 300.00
2. Respondent, Rebecca A. Hooker, is charged with the following fees and costs:

Forum Fees	= \$ 900.00
Balance Due NASD Dispute Resolution, Inc.	= \$ 900.00

All balances are payable to NASD Dispute Resolution, Inc. and are to be paid immediately upon the receipt of the award by the parties pursuant to Rule 10330(g) of the Code.

Concurring Arbitrators' Signatures



Douglas A. Wright
Chair, Non-Public Arbitrator

01/29/01

Signature Date

Timothy N. Will, Esq.
Non-Public Arbitrator

Signature Date

Robert Bruce MacDonald
Non-Public Arbitrator

Signature Date

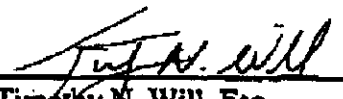
1/29/01

Date of Service

Concurring Arbitrators' Signatures

Douglas A. Wright
Chair, Non-Public Arbitrator

Signature Date


Timothy N. Will, Esq.
Non-Public Arbitrator

1/26/01
Signature Date

Robert Bruce MacDonald
Non-Public Arbitrator

Signature Date

1/29/01
Date of Service

Concurring Arbitrators' Signatures

Douglas A. Wright
Chair, Non-Public Arbitrator

Signature Date

Timothy N. Will, Esq.
Non-Public Arbitrator

Signature Date

Robert Bruce MacDonald

Robert Bruce MacDonald
Non-Public Arbitrator

1-29-01
Signature Date

1-29-01
Date of Service