

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

CASE:00-04668

Allan J. Ristori, claimant vs. Salomon Grey Financial Corp. and Edward Becker, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Manasquan Park, NJ.

For Respondent Salomon Grey Financial Corp. appeared William B. Federman, Esq., of the firm Dreier Baritz & Federman, Oklahoma City, OK.

Respondent Edward Becker appeared Pro Se, Greenlawn, NY.

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**DATE FILED:** August 22, 2000

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**CASE SUMMARY:** Claimant alleged that respondents made material misrepresentations of a stock. Claimant further alleged that respondents sold stock in his account without authorization.

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**ARBITRATOR'S REPORT:** Claimant failed to provide any evidence that his loss was due to the acts of respondents.

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**Claim Data**

Claim: \$1,500.00  
Punitive: \$1,000.00  
Filing Fees: \$0.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Filing Fees: \$37.50

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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 punitive damages are denied. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents shall pay claimant \$37.50 as reimbursement of half the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Salomon Grey Financial Corp. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.


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Douglas J. Baumann, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Douglas J. Baumann, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

  
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Douglas J. Baumann, Esq.

10-5-01  
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Signature Date

October 17, 2001  
\_\_\_\_\_  
Date of Service (For NASD-DR office use only)