

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-05599

Apostolic Monastics, Inc., Claimant vs. Solomon Smith Barney, Inc., Respondent.

ATTORNEYS:

For Claimant appeared Paul Demartini, a.k.a. Father Sergius-Maria, Secretary-Econome of Apostolic Monastics, San Diego, CA.

For Respondents appeared Ann Parry, Esq., in-house counsel, New York, NY.

DATE FILED: December 19, 2000

CASE SUMMARY: Claimant alleged that respondent misrepresented the risks associated with buying B of A bonds and therefore made an unsuitable recommendation that caused a loss to claimant's account.

Claim Data

Claim: \$10,000.00
Filing Fees: \$325.00
Other: unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
Other: \$.00

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 \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

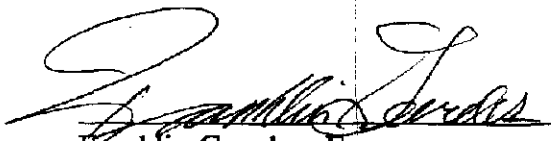
Page Two
Award 00-05599

Franklin Geerdes, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Franklin Geerdes, 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.


Franklin Geerdes, Esq.

8-3-01
Signature Date

08/20/01
Date of Service (for NASD Office Use Only)