

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

CASE:01-00768

Robert F. Salak Revocable Living Trust, claimant vs. Salomon Smith Barney Inc. and Bernard E. Packard, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, through its Trustee, Robert F. Salak, Michigan City, IN.

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

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**DATE FILED:** February 15, 2001

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**CASE SUMMARY:** Claimant alleged that respondents misrepresented the risks and provided unsuitable investment advice and recommended the purchase of EOTT and Genesis Energy stocks thereby causing a loss in claimant's account.

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**Claim Data**

Claim: \$14,557.79  
Filing Fees: \$.00

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**Award Data**

Award: \$7,378.00  
Filing Fees: \$212.50

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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) Respondents are jointly and severally liable and shall pay to the claimant \$7,378.00. 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. 4) Respondents are jointly and severally liable and shall pay claimant \$212.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Solomon Smith Barney, Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Judith S. Ogden, JD

Sole Public Arbitrator

**AFFIRMATION**

I, Judith S. Ogden, JD, 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.

Judith S. Ogden, JD.  
Judith S. Ogden, JD

August 20, 2001  
Signature Date

September 24, 2001  
Date of service (for NASD office use only)