

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01335

Chris Mangini, claimant vs. Solomon Smith Barney, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se, Woodstock, VT.

For Respondent appeared Kathleen M. McCarthy, Esq., in-house counsel, New York, NY.

DATE FILED: March 19, 2001

CASE SUMMARY: Claimant alleged that respondent recommended stocks that were unsuitable to his investment objectives. Claimant further alleged that respondent illegally promoted the Palomar stock which resulted in a loss to his account.

Claim Data

Claim: \$10,000.00

Other: \$.00

Award Data

Award: \$.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.

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Donald W. Hurst

Sole Public Arbitrator

AFFIRMATION

I, Donald W. Hurst, 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.


Donald W. Hurst


Signature Date

October 26, 2001
Date of Service (For NASD-DR office use only)