

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

CASE:01-01541

Jean Gilhart, claimant vs. Salomon Smith Barney Inc., and Alex Muscati III, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Clearwater, FL.

For Respondents Salomon Smith Barney, Inc. and Alex Muscati III appeared Ann Parry, Senior Vice-President and Associate General Counsel, New York, NY.

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DATE FILED: March 28, 2001

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**CASE SUMMARY:** Claimant alleged that respondent Salomon Smith Barney, Inc. failed to supervised its employee, Alex Muscatti, III. Claimant further maintained that she was placed in speculative and risky investments when she requested to be placed in conservative investments.

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**Claim Data**

Claim: \$3,812.46  
Filing Fees: \$175.00  
Other: unspecified

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**Award Data**

Award: \$3,721.00  
Filing Fees: \$50.00  
Other: \$.00

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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 \$3,721.00. 2) All other relief requests are denied. 3) The \$175.00 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 \$50.00 as reimbursement for part of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Prudential Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced. Pursuant to Rule 10333 of the Code, respondent Salomon Smith Barney Inc. paid to NASD Dispute resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 01-01541

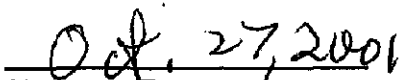
Stanley Lampert, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Stanley Lampert, Esq., 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.

  
Stanley Lampert, Esq.

  
Signature Date

November 12, 2001  
Date of Service (For NASD-DR office use only)