

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-02451

James and Erin Ogburn, claimants vs. Salomon Smith Barney, Inc. and Angela Lewis, respondents.

ATTORNEYS:

Claimants appeared pro se, Los Angeles, CA.

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

DATE FILED: May 7, 2001

CASE SUMMARY: Claimants alleged that respondents placed unauthorized trades in their account. Claimants maintained that due to respondents' actions, the account suffered losses.

Claim Data

Claim: \$10,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$162.50

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 claimants 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 claimants, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents are jointly and severally liable and shall pay claimants \$162.50 as reimbursement of one-half of the filing fee.

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

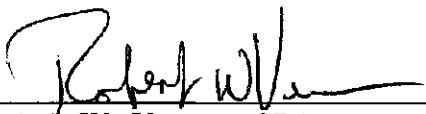
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Award 01-02451

Robert W. Vernon, CPA

Sole Public Arbitrator

AFFIRMATION

I, Robert W. Vernon, CPA, 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.


Robert W. Vernon, CPA

4/8/02
Signature Date

April 16, 2002
Date of Service (For NASD-DR office use only)