

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-03116

Anthony P. Ferrante, Claimant vs. Salomon Smith Barney Inc., Respondent.

ATTORNEYS:

Claimant, Anthony P. Ferrante, appeared Pro Se, Hermosa Beach, California.

Respondent, Salomon Smith Barney, appeared through its in-house counsel, Ann Parry, Esq., New York, NY.

DATE FILED: June 12, 2001

CASE SUMMARY: Claimant alleged that respondent sold and removed securities from his account without authorization.

Claim Data

Claim: \$526.41
Interest: 5% interest per annum from 4/11/95
to 4/12/01
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.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 requests for interest payments are denied. 3) All other relief requests are denied. 4) The \$50.00 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 \$150.00 Member Surcharge previously invoiced.

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Award 01-03116

David J. Berardo

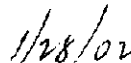
Sole Public Arbitrator

AFFIRMATION

I, David J. Berardo, 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.



David J. Berardo



Signature Date

February 5, 2002

Date of Service (For NASD-DR office use only)