

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06217

Matthew R. McCabe, claimant vs. Sharon Moses-Coleman and Charlyce Friday, respondents.

ATTORNEYS:

Claimant appeared pro se, Hutchinson, KS.

For Respondents appeared in-house counsel of Salomon Smith Barney Inc., Ann Parry, Esq., New York, NY.

DATE FILED: October 17, 2002

CASE SUMMARY: Claimant alleged that respondents failed to carry out his orders promptly and breached their fiduciary duty failing to transact business only after receiving information. Claimant maintained that because of respondents' actions, his account suffered a loss.

Claim Data

Claim: \$21,652.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$212.50
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 \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly and severally liable and shall pay claimant \$212.50 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Salomon Smith Barney Inc., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.


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Award 02-06217

Mark S. Foster, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Mark S. Foster, 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.



Mark S. Foster, Esq.



Signature Date

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