

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06251

Martha R. Green, claimant vs. Merrill Lynch, Pierce, Fenner & Smith Inc., Matt Kittell, and Thompson, Siegel & Walmsley, Inc., respondents.

ATTORNEYS:

Claimant appeared pro se, Memphis, IN.

For Respondents appeared in-house counsel from Merrill Lynch, Pierce, Fenner & Smith Inc., Jennifer Woods Burke, Esq., New York, NY.

DATE FILED: October 18, 2002

CASE SUMMARY: Claimant alleged that respondents inappropriately handled her account and placed her investments that were unsuitable for her investment objectives. Claimant maintained that because of respondents' actions, her account suffered a loss.

Claim Data

Claim: \$21,452.56
Filing Fees: \$1,050.00
Other: Unspecified

Award Data

Award: \$2,500.00
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) Respondent, Merrill Lynch, Pierce, Fenner & Smith Inc., is are liable and shall pay to the claimant \$650.00. 2) Respondent, Matt Kittell is liable and shall pay to the claimant \$650.00. 3) Respondent, Thompson, Siegel & Walmsley, Inc., is liable and shall pay to the claimant \$1,250.00. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondent, Merrill Lynch, Pierce, Fenner & Smith Inc., is liable and shall pay claimant \$53.13 as reimbursement of one eighth of the filing fee. 7) Respondent, Matt Kittell, is liable and shall pay claimant \$53.13 as reimbursement of one eighth of the filing fee. 8) Respondent Thompson, Siegel, & Walmsley, is liable and shall pay claimant \$106.25 as one quarter of the filing fee. 8) Respondent, Matt Kittell's request for expungement of his CRD records is denied.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, Merrill Lynch, Pierce, Fenner & Smith Inc., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Page Two
Award 02-06251

Sharon B. Merriman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Sharon B. Merriman, 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.


Sharon B. Merriman, Esq.

3/18/03
Signature Date

March 26, 2003

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