

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-02761

Robert and Barbara Grim, claimants vs. Salomon Smith Barney Inc. and David Swank, respondents.

ATTORNEYS:

For Claimants appeared James Richard Hooper, Esq., of the firm Hooper & Weiss, L.L.C., Orlando, FL.

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

DATE FILED: April 14, 2003

CASE SUMMARY: Claimants alleged that respondents failed to properly handle and manage their accounts. Claimants further alleged that respondents placed them in unsuitable investments. Claimants maintained that because of respondents' actions, their accounts suffered losses. Claimants' claims involved Global Growth Fund Class A Mutual Fund.

Claim Data

Claim: \$6,884.13
Punitive: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$162.50
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 requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondents are jointly and severally liable and shall pay claimant \$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 the \$325.00 Member Surcharge previously invoiced.


Page Two
Award 03-02761

Nelson J. Brous

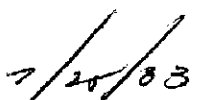
Sole Public Arbitrator

AFFIRMATION

I, Nelson J. Brous, 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.



Nelson J. Brous



Signature Date

July 31, 2003

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