

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-06376

Edward G. Sable and Sharon C. Sable, (Claimant) vs. Salomon Grey Financial Corporation, Jonathan David Poland and Jason Michael Ganton, (Respondents)

ATTORNEYS:

Claimants appeared *pro se*, Marlboro, NJ.

For Respondent Salomon Grey Financial Corporation ("SGFC") appeared Gary P. Barket, Esq., of The Law Offices of Gary P. Barket, P.A., Little Rock, AZ.

Respondent Jonathan David Poland ("Poland") did not submit an Answer to the Statement of Claim.

Respondent Jason Michael Ganton ("Ganton") did not submit an Answer to the Statement of Claim.

Respondents Salomon Grey Financial Corporation, Jonathan David Poland and Jason Michael Ganton are hereinafter collectively referred to as ("Respondents").

NATURE OF DISPUTE: Customers v. Member and Associated Persons

DATE FILED: December 10, 2005

CASE SUMMARY: Claimants alleged that Respondents misrepresented facts regarding investments and placed them in investments that were unsuitable for their needs. Claimants further alleged failure to supervise. Claimants maintained that due to Respondents' actions, they suffered financial losses. Claimants' claim involved various common stock.

Claim Data

Claim: \$2,061.53
Filing Fees: Unspecified

Award Data

Award: \$.00
Filing Fees: \$37.50

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 the Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimants deposited previously. 4) Respondent Salomon Grey Financial Corporation is liable and shall pay Claimant \$37.50 as reimbursement of one half of the filing fee.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Salomon Grey Financial Corporation, has not paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

OTHER ISSUES: By e-mail dated February 15, 2006, Claimants notified NASD that they settled their claims against Respondents Jonathan David Poland and Jason Michael Ganton.

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Arnold Limsky

Sole Public Arbitrator

AFFIRMATION

I, Arnold Limsky, 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.


Arnold Limsky

4/5/06
(Signature Date)

April 5, 2006

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