

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-03937

Renee L. Montgomery, claimant v. Smith Barney Inc., Victoria Wizzel, Joseph Polanski, Steven G. Kushner and Donald Shagrin, respondents.

ATTORNEYS:

For Claimant

George Montgomery, Esq. - Henderson, Nevada

For Respondents

John Bevilacqua, in-house-counsel for Smith Barney, Inc. - New York, New York.

DATE FILED: September 4, 1996

CASE SUMMARY: Claimant alleged breach of fiduciary duty, negligence, stock account related errors, stock account related transfer problems, unauthorized trading and emotional distress.

Claim Data

Claim: \$10,000.00
Punitive: Unspecified
Atty Fees: Unspecified
Filing Fees: \$50.00
Other: N/A

Award Data

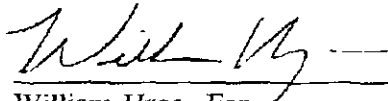
Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

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 attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other requests for relief are denied. 5) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

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AFFIRMATION

I, William Urga, 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.



William Urga, Esq.

June 19, 1997

Date of award