

N.A.S.D. REGULATION AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 96-05826

Florence Weiss and Edwin Weiss, claimants vs. Harvey Rabiner, Edward Jim Mulcahey and Smith Barney, Inc., respondents.

ATTORNEYS:

Claimant appeared Pro Se, Brooklyn, NY.

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

DATE FILED: December 30, 1996

CASE SUMMARY: Claimant alleged that the information he was given regarding Hyperion shares was misrepresented.

Claim Data

Claim: \$7,500.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

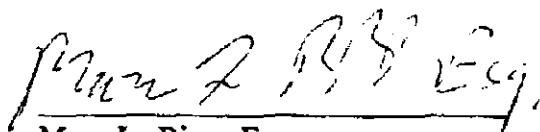
Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

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 other relief requests are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER ISSUES: The arbitrator reviewed and considered the Motion to Dismiss submitted by Edward Jim Mulcahey. The arbitrator granted the motion.

AFFIRMATION

I, Marc L. Ripp, Esq., do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Marc L. Ripp, Esq.

August 11, 1997

Date of Award