

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

CASE: 98-00055

Sara Ben-Hanania, claimant vs. Smith Barney, Inc., and Albert Hanin, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Boca Raton, FL.

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

DATE FILED: January 6, 1998

CASE SUMMARY: Claimant alleged that she incurred margin interest costs because respondents improperly withheld taxes.

Claim Data

Claim: \$1,055.00
Punitive: \$2,310.00
Costs: \$.00
Filing Fees: \$.00

Award Data

Award: \$1,055.00
Punitive: \$.00
Costs: \$.00
Filing Fees: \$125.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimant's claims against respondent Albert Hanin are dismissed in their entirety. NASD is directed to expunge any reference to this matter from Albert Hanin's CRD records. 2) Respondent Smith Barney, Inc, is liable and shall pay to claimant \$1,055.00. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$125.00 filing fee previously deposited with National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 6) Respondent Smith Barney, Inc., is liable and shall pay claimant \$125.00 as reimbursement of the filing fee.

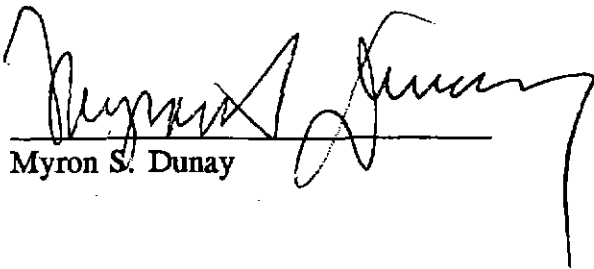
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 98-00055

AFFIRMATION

I, Myron S. Dunay, 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.


Myron S. Dunay

July 13, 1998

Date of award