

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-01825

Joseph W. Giovengo f/b/o Giovengo Children Trust, claimant vs. Smith Barney Harris Upham & Co., Inc. and Vincent P. Afflixio, Jr., respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Northport, NY.

For Respondents appeared Ann Parry, First Vice President and Associate General Counsel of Salomon Smith Barney, New York, NY.

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DATE FILED: April 20, 1999

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CASE SUMMARY: Claimant alleged that respondents invested in inappropriate and unsuitable stocks with money from a children's trust and failed to properly manage the account which resulted in a loss.

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**Claim Data**

Claim: \$17,507.00

Filing Fees: Unspecified

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**Award Data**

Award: \$.00

Filing Fees: \$425.00

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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 \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$ \$425.00 as reimbursement of the filing fee.

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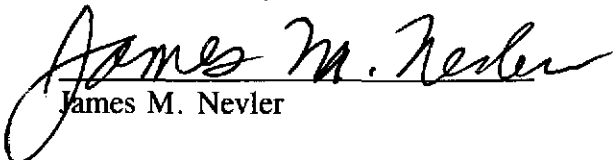
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 99-01825

**AFFIRMATION**

I, James M. Nevler, 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.

  
James M. Nevler

October 23, 2000  
Date of Award

RECIPIENTS:  
James M. Nevler