



NASD[®]
REGULATION
An NASD Company

NASD Regulation, Inc.

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

CASE: 99-02104

John J. Brennan, claimant vs. Michael Rasner and Solomon Smith Barney, Inc., respondents.

ATTORNEYS:

Claimant John J. Brennan appeared Pro Se., Atco, NJ.

For Respondents Michael Rasner and Solomon Smith Barney, Inc., appeared in-house counsel,
Ann Parry, Esq., New York, NY.

DATE FILED: May 6, 1999

CASE SUMMARY: Claimant alleged that on March 11, 1999, Respondent Michael Rasner failed to execute a liquidation of his Mutual Fund accounts held by Respondent Solomon Smith Barney, Inc.

Claim Data

Claim: \$1,732.26 plus Market
Value of In-house Funds

Filing Fees: \$450.00

Award Data

Award: \$.00

Filing Fees: \$.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 \$75.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-02104

AFFIRMATION

I, William M. Lee, 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 M. Lee
William M. Lee

February 11, 2000
Date of award