

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:99-04258

David J. Cherry, claimant vs. Salomon Smith Barney, Inc. and Robert J. Schmidt, respondents.

ATTORNEYS:

Claimant David J. Cherry, appeared Pro-Se, Manasquan, NJ

Respondent Robert J. Schmidt, appeared Pro-Se, Pittstown, NJ

For respondent Salomon Smith Barney Inc. appeared, in house counsel, Ann Parry, Esq., New York, NY

DATE FILED: September 16, 1999

CASE SUMMARY: Claimant alleged respondents failed to implement instructions to remove the name of his former wife, Diane Cherry Bradford from their previously held jointly owned AT & T stocks. Claimant further alleged these stocks were converted to his wife as a result of respondents negligence.

Claim Data

Claim: \$5,000.00

Award Data

Award: \$.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 \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has not paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-04258

AFFIRMATION

I, Steven D. Leader, 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.



Steven D. Leader

August 29, 2000

Date of award