

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04606

Marion Yuellig, claimant vs. Richard Brizzolara and Smith Barney Shearson, Inc., respondents.

ATTORNEYS:

For Claimant, Marion Yuellig, ("Claimant"), appeared Billie L. Warren, Esq., Cincinnati, OH.

For Respondents, Richard Brizzolara and Smith Barney Shearson, Inc., (collectively "Respondents"), appeared in-house counsel John P. Bevilacqua, Esq., New York, NY.

DATE FILED: October 12, 1999

CASE SUMMARY: Claimant alleged that Respondents were grossly unethical in the handling of her account. Claimant further alleged that Respondents invested her cash into inappropriate bond and annuity and as a result she suffered financial loss.

Claim Data

Claim: \$10,000.00
Other: Unspecified

Award Data

Award: \$.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 arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Richard Brizzolara registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Richard Brizzolara must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 4) The \$325.00 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, Smith Barney Shearson, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

Page Two
Award 99-04606

AFFIRMATION

I, Lawrence M. Oberdank, 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.


Lawrence M. Oberdank

October 19, 2000
Date of award