

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:00-05156

Winnie Mok, claimant vs. Citicorp Investment Services, respondent.

ATTORNEYS:

Claimant appeared Pro Se, New York, NY.

For Respondents appeared Jennifer Newman Sendor, Esq., in-house counsel, Long Island City, NY.

DATE FILED: November 21, 2000

CASE SUMMARY: Claimant alleged that respondent placed an unauthorized sell-out order for 500 shares of Bighub.Com, Inc.

Claim Data

Claim: \$3,993.70

Punitive: \$.00

Interest: unspecified

Filing Fees: unspecified

Award Data

Award: \$3,993.70

Punitive: \$.00

Interest: \$.00

Filing Fees: \$87.50

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$3,993.70. 2) All requests for interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent shall pay claimant \$87.50 as reimbursement of one-half of the filing fee.

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

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Award 00-05156

Rick S. Conason, Esq.

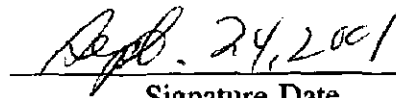
Sole Public Arbitrator

AFFIRMATION

I, Rick S. Conason, Esq., 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.



Rick S. Conason, Esq.



Signature Date

October 17, 2001
Date of Service (For NASD-DR office use only)