

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

CASE:01-01701

Sybil Shainwald and Sidney Shainwald, claimants vs. Susan Jacobs and Citicorp Investment Services, respondents.

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**ATTORNEYS:**

For Claimants appeared Stephen H. Weiner, Esq. of the Law Offices of Sybil Shainwald, P.C., New York, NY.

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

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**DATE FILED:** April 5, 2001

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**CASE SUMMARY:** Claimants alleged that respondent failed to adequately disclose the risks associated with investing in a mutual fund. Claimants further alleged that respondents failed to provide a prospectus for the investment.

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**Claim Data**

Claim: \$19,922.71  
Interest: unspecified  
Filing Fees: unspecified  
Other: unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$212.50  
Other: \$.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 claimants are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimants, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents shall pay claimants \$212.50 as reimbursement of one-half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Citicorp Investment Services has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Sandra D. Parker, Esq.

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Sole Public Arbitrator

**AFFIRMATION**

I, Sandra D. Parker, 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.

  
Sandra D. Parker, Esq.

  
Signature Date

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