

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01541

Thelma H. Rosenblum, TTEE, Claimant vs. Eric Applewhite and Richard A. Bello, Respondents.

ATTORNEYS:

Claimant appeared pro se, Delray Beach, FL.

For Respondents appeared Citigroup Global Markets Inc.'s in-house counsel, Joseph A. Sack, Esq., New York, NY.

DATE FILED: March 4, 2003

CASE SUMMARY: Claimant alleged that Respondents placed her account in unsuitable investments and misrepresented facts to her regarding these investments. Claimant maintained that due to Respondents' actions, she suffered financial losses. Claimant's claim involved annuities and preferred stock.

Claim Data

Claim: \$25,000.00
Filing Fees: \$425.00

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 \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Citigroup Global Markets Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 03-01541

Bernard A. Becker, CPA

Sole Public Arbitrator

AFFIRMATION

I, Bernard A. Becker, CPA, 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.

Bernard A. Becker
Bernard A. Becker, CPA

July 23, 2003
Signature Date

August 6, 2003
Date of Service (For NASD-DR office use only)