

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-04479

Ann Elisabeth Tomasell, Claimant vs. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., A.G. Edwards & Sons, Inc., Martha Siefman, and Steven Thompson, Respondents

ATTORNEYS:

Claimant Ann Elisabeth Tomasell ("Claimant") appeared *pro se*, Troy, MI.

For Respondents Citigroup Global Markets, Inc. and Martha Siefman appeared Ann Parry, Esq., in-house counsel, Citigroup Global Markets, Inc., New York, NY.

For Respondents A.G. Edwards & Sons, Inc. and Steven Thompson appeared James C. Browning Esq., in-house counsel, A.G. Edwards & Sons, Inc., New York, NY.

Citigroup Global Markets, A.G. Edwards & Sons, Inc., Martha Siefman, and Steven Thompson are collectively referred to as "Respondents".

NATURE OF DISPUTE: Customer v. Members and Associated Persons.

DATE FILED: June 19, 2003.

CASE SUMMARY: Claimant alleged that Respondents breached their fiduciary duty, placed her in investments that were unsuitable to her needs and objectives, and omitted material facts. Claimant further alleged that Respondents Citigroup Global Markets, Inc. and A.G. Edwards & Sons, Inc. failed to supervise their brokers. Claimant maintained that due to Respondents' actions, her account suffered losses. Claimant's claim involved shares of WorldCom stock as well as other unspecified securities.

Claim Data

Claim: \$17,522.00
Other: \$.00

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 Claimant has failed to stated a cause of action therefore the claims of Claimant are dismissed. . 2) All other relief requests are denied. 3) The \$125.00 filing fee and \$300.00 hearing session deposit were waived by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondents Citigroup Global Markets, Inc. and A.G. Edwards & Sons, Inc. have each paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

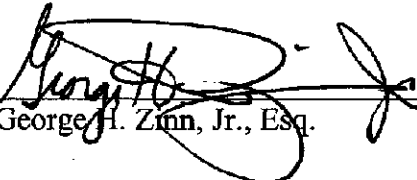
George H. Zinn, Jr., Esq.

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Sole Public Arbitrator

AFFIRMATION

I, George H. Zinn, Jr., Esq., 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.


George H. Zinn, Jr., Esq.

2 Dec 2004
Signature Date

December 15, 2004
Date of Service (For NASD-DR office use only)