

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-00340

Joseph Reap, Claimant v. Aldo Puletti, Respondent

ATTORNEYS:

For Claimant, Joseph Reap, ("Claimant"), appeared David A. Checcio, Esq., of Bressler, Amery & Ross, P.C., Morristown, NJ.

For Respondent, Aldo Puletti, ("Respondent"), appeared Charles O'Rourke, Esq., Woodbury, NY.

NATURE OF DISPUTE: Associated Person vs. Customer.

DATE FILED: January 20, 2004.

CASE SUMMARY: Claimant requested an expungement of all reference to NASD-DR Case No. 01-04275 entitled Aldo Puletti v. Citigroup Global Markets, Inc., f/k/a Salomon Smith Barney, Inc., and Joseph Reap from his CRD records maintained by the NASD Central Registration Depository ("CRD").

Claim Data

Claim: Expungement
Filing Fees: Unspecified

Award Data

Award: Denied
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) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the Claimant deposited previously. 4) Respondent is not liable for reimbursement of Claimant's filing fee.

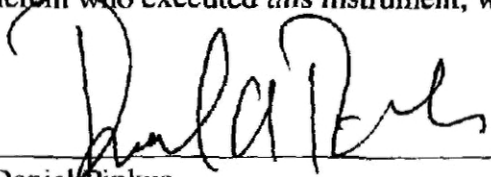
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ARBITRATOR

Daniel Pinkus - Sole Public Arbitrator

AFFIRMATION

I, Daniel Pinkus, 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.



Daniel Pinkus

9/15/04
(Signature Date)

September 30, 2004

Date of Service (For NASD-DR office use only)