

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**  
CASE: 04-00398

George L. Schneider, Jr. and Albert J. Kirchner, Claimants v. Theodore M. Sabarese Children's Trust - Lewis Braff Trustee, Respondent.

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**ATTORNEYS:**

For Claimants, George L. Schneider, Jr. and Albert J. Kirchner, ("Claimants"), appeared David A. Checchio, Esq., of the firm Bressler, Amery & Ross, P.C., New York, NY.

For Respondent, Theodore M. Sabarese Children's Trust - Lewis Braff Trustee, ("Respondent"), appeared Chris Franzblau, Esq., of the firm Franzblau Dratch, P.C., Livingston, NJ.

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**NATURE OF DISPUTE:** Associated Persons v. Customer

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**DATE FILED:** January 20, 2004

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**CASE SUMMARY:** Claimants request the expungement from their registration record maintained by the NASD Central Registration Depository ("CRD"), of all reference to NASD Dispute Resolution Arbitration Case No. 02-02578 entitled Theodore Sabarese Children's Trust - Lewis Braff Trustee v. George L. Schneider, Jr., Albert J. Kirchner, and Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. because the arbitration case was settled.

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**Claim Data**

Expungment Requested  
Filing fees: \$.00  
Other: Unspecified

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**Award Data**

Award: Granted  
Filing Fees: \$.00  
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 arbitrator recommends the expungement of all reference to NASD Dispute Resolution Arbitration Case No. 02-02578 entitled Theodore Sabarese Children's Trust - Lewis Braff Trustee v. George L. Schneider, Jr., Albert J. Kirchner, and Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., from Claimants George L. Schneider, Jr.'s, and Albert J. Kirchner's registration records maintained by the NASD CRD, with the understanding that pursuant to NASD Notice to Members 99-09, Claimants George L. Schneider, Jr. and Albert J. Kirchner must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the Claimants deposited previously.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, the member firm associated with the Claimants at the time of the dispute, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.


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**ARBITRATOR**

Louis H. Miron, Esq. - Sole Public Arbitrator

**AFFIRMATION**

I, Louis H. Miron, 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.

  
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Louis H. Miron, Esq.

8-2-04  
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Signature Date

August 13, 2004

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