

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01132

Brian D. Fylak, Claimant vs. ,Citigroup Global Market, Inc. f/k/a Salomon Smith Barney, Inc.
and J. Palmer Patton Respondents.

ATTORNEYS:

Claimant, Brian D. Fylak ("Claimant") appeared pro se, Charlotte, NC.

For Respondents, Citigroup Global Market, Inc. f/k/a Salomon Smith Barney, Inc. J. Palmer Patton (collectively "Respondents") appeared Louis G. Santangelo, Esq., in-house counsel, Citigroup Global Markets, Inc. New York, NY.

NATURE OF DISPUTE: Associated Person vs. Member and Associated Person

DATE FILED: February 20, 2004

CASE SUMMARY: Claimant alleged that Respondents breached their contract, failed to pay owed compensation and unjust enrichment.

Claim Data

Claim: \$3,841.92
Punitive: \$11,525.76
Interest: \$3,051.92
Filing Fees: \$425.00
Other: \$50.00

Award Data

Award: \$.00
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 claims of Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.


OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Shelley Teitelbaum, Esq. - Sole Non-Public Arbitrator

AFFIRMATION

I, Shelley Teitelbaum, 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.


Shelley Teitelbaum, Esq.


Signature Date

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