

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01178

Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., David D. Mumford, and Felipe A. Luna, Claimants v. John J. Bazzone, Respondent

ATTORNEYS:

For Claimants Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., David D. Mumford, and Felipe A. Luna (collectively "Claimants") appeared Kent B. Frazer, Esq., of the firm Boose Casey Ciklin Lubitz Martens McBane & O'Connell, West Palm Beach, FL.

For Respondent John Bazzone ("Respondent") appeared Brenda M. Combs, Esq., of the firm Williams Schifino Mangione & Steady, P.A., Tampa, FL.

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

DATE FILED: February 23, 2004.

CASE SUMMARY: Claimants alleged that in a previously filed and closed NASD Dispute Resolution Arbitration No. 02-04923 they requested expungement of that claim from their respective CRD records, but the file was closed before the expungement was granted. Claimants' claim does not involve securities.

Claim Data

Claim: Expungement
Filing Fees: \$.00

Award Data

Award: Granted
Filing Fees: \$750.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimants' David D. Mumford's and Felipe A. Luna's requests for expungement are granted. 2) The Panel recommends the expungement of all reference to the above captioned arbitration from Claimants David D. Mumford's and Felipe A. Luna's registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimants David A. Mumford and Felipe A. Luna must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 3) NASD Dispute Resolution shall retain the \$1,500.00 filing fee that the Claimants deposited previously. 6) Respondent is liable and shall pay Claimants \$750.00 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant Citigroup Global Markets, Inc. has paid to NASD Dispute Resolution the \$1500.00 Member Surcharge previously invoiced.

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Award 04-01178

Arthur Stern, JD

Sole Public Arbitrator

AFFIRMATION

I, Arthur Stern, JD, 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.

Arthur Stern
Arthur Stern, JD

11/3/04
Signature Date

November 17, 2004
Date of Service (For NASD-DR office use only)