

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-02212

Jacqueline Doennenfeld-Aumann, Claimant v. Citicorp Investment Services, Inc. and Essex National Securities, Inc., Respondents

ATTORNEYS:

For Claimant Jacqueline Doennenfeld-Aumann ("Claimant") appeared Theodore M. Davis, Esq., Brooklyn, NY.

For Respondent Citicorp Investment Services, Inc. ("Citicorp") appeared Jennifer Sendor, Esq., in-house counsel, Citicorp Investment Services, Inc., Long Island City, NY.

For Respondent Essex National Securities, Inc. ("Essex") appeared Grant David Ward, Esq., in-house counsel, John Hancock Life Insurance Company, Boston, MA.

Citicorp and Essex are hereinafter collectively referred to as "Respondents".

NATURE OF DISPUTE: Customer vs. Members.

DATE FILED: March 31, 2004.

CASE SUMMARY: Claimant alleged that Respondents placed her in investments that were unsuitable to her needs and investment objectives, provided inadequate supervision, breached their fiduciary duties and fair dealing, unauthorized trading, and deceptive sales practices. Claimant maintained that due to Respondents' actions, her account suffered losses. Claimant's claim involved unspecified annuities.

Claim Data

Claim: \$15,000.00
Claim: \$8,000.00
Punitive: \$2,000.00
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Claim: \$.00
Punitive: \$.00
Interest: \$.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 attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Essex has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced and Respondent Citicorp has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

OTHER ISSUES: On or about September 20, 2004, Claimant settled her claims with Respondent Essex National Securities, Inc.

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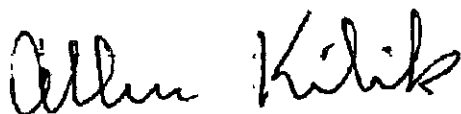
Allen Kilik, Esq.

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Sole Public Arbitrator

AFFIRMATION

I, Allen Kilik, 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.



Allen Kilik, Esq.



Signature Date

November 19, 2004

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