

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

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CASE: 04-05251

Deena Bateh Doany, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B. Grubman, Respondents

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**ATTORNEYS:**

For Claimant Deena Bateh Doany ("Claimant") appeared Richard Lantinberg, Esq., of the firm Cooper Ridge & Lantinberg, Jacksonville, FL.

For Respondents Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B. Grubman (collectively "Respondents") appeared Mark L. Parmelee, Esq., of the firm Greenberg Traurig, P.A., New York, NY.

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**NATURE OF DISPUTE:** Customer v. Member and Associated Person.

**DATE FILED:** July 19, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondents omitted to state material facts in connection with the offer and sale of WorldCom and Williams Communications Group, Inc. stocks. Claimant further alleged that Respondents violated Section 17(a) of the Securities Act of 1933 and NASD Rule 2210(d)(1), breached their fiduciary duty. Claimant additionally alleged that Respondent Citigroup Global Markets, Inc. is liable under the doctrine of respondeat superior.

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**Claim Data**

Claim: \$10,181.47  
Punitive: \$10,000.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

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**Award Data**

Award: \$0.00  
Punitive: \$0.00  
Interest: \$0.00  
Attorney Fees: \$0.00  
Filing Fees: \$0.00  
Other: \$0.00

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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 claims of Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees 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 Citigroup Global Markets, Inc. has paid to NASD Dispute Resolution the \$00.00 Member Surcharge previously invoiced.


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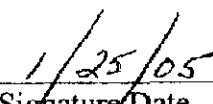
ARBITRATOR

Kay B. Clanton, Ph.D - Sole Public Arbitrator

AFFIRMATION

I, Kay B. Clanton, Ph.D, 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.

  
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Kay B. Clanton, Ph.D

  
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Signature Date

February 2, 2005  
Date of Service (For NASD-DR office use only)