

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05804

Wai L. Moy, Claimant v. Citicorp Investment Services and Daphne Tan, Respondents

ATTORNEYS:

Claimant Wai L. Moy ("Claimant") appeared *pro se*, Flushing, NY.

For Respondents Citicorp Investment Services and Daphne Tan (collectively "Respondents") appeared David Gorfinkel, Esq., in-house counsel, Citicorp Investment Services, Long Island City, NY.

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

DATE FILED: August 16, 2004.

CASE SUMMARY: Claimant alleged that Respondent Tan was negligent and sold the Vanguard Windsor II Fund and purchased Putnam New Century Fund CI B without her knowledge or authorization. Claimant further alleged that Respondent Tan mislead her with respect to her account. Claimant's claim involved mutual funds.

Claim Data

Claim: \$20,000.00
Other: Unspecified

Award Data

Award: \$.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 other relief requests are denied. 3) 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 Citicorp Investment Services has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

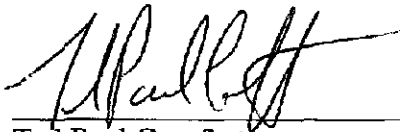
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Ted Paul Comfort

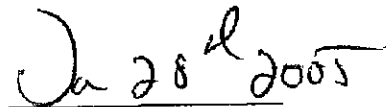
Sole Public Arbitrator

AFFIRMATION

I, Ted Paul Comfort, 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.



Ted Paul Comfort



Signature Date

February 18, 2005

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