

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05819

Douglas S. Bohs, Claimant v. Citigroup Global Markets, Inc., Respondent

ATTORNEYS:

Claimant Douglas S. Bohs ("Claimant") appeared *pro se*, Fort Wayne, IN.

For Respondent Citigroup Global Markets, Inc. ("Respondent") appeared Ann Parry, Esq., in-house counsel, Citigroup Global Markets, Inc., New York, NY.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: August 12, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to offer him lower sales charges provided by breakpoints and "A" shares. Claimant further alleged that he was sold a tax deferred annuity inside an IRA. Claimant maintained that due to Respondent's actions, his account suffered losses. Claimant's claim involved mutual fund breakpoints.

Claim Data

Claim: \$20,250.00

Filing Fees: Unspecified

Award Data

Award: \$9,400.00

Filing Fees: \$425.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay Claimant \$9,400.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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

NASD REGULATION

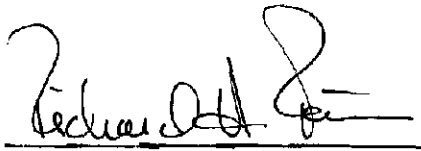
Page Two
Award 04-05819

ARBITRATOR

Richard H. Potter - Sole Public Arbitrator

AFFIRMATION

I, Richard H. Potter, 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.


Richard H. Potter

12-10-04
Signature Date

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