

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05985

Angelo Charles Cocuzza, (Claimant) vs. Citigroup Global Markets, Inc. and Jack B. Grubman, (Respondents)

ATTORNEYS:

For Claimant appeared James Richard Hooper, Esq., of the firm Hooper & Weiss, L.L.C., Orlando, FL.

For Respondents appeared Mark L. Parmelee, Esq., of the firm Greenberg Traurig, LLP, New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: August 13, 2004

CASE SUMMARY: Claimant alleged that Respondents misrepresented and failed to disclose facts regarding the sale of WorldCom Stock. Claimant further alleged breach of contract, manipulations and negligence. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved common stock, including WorldCom Stock.

Claim Data

Claim: \$21,067.20
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$425.00
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 the 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. 7) Respondents are jointly and severally liable and shall pay Claimant \$425.00 as reimbursement of the filing fee. 8) Respondents are jointly and severally liable and shall pay NASD Dispute Resolution \$900.00 for forum fees incurred for the two conference calls that were held on February 15, 2005 and June 27, 2005.

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

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Award 04-05985

C. Sidney Lester, Esq.

Sole Public Arbitrator

AFFIRMATION

I, C. Sidney Lester, Esq., 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.


C. Sidney Lester, Esq.

10/19/05
(Signature Date)

October 20, 2005
Date of Service (For NASD-DR office use only)