

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

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**CASE: 04-07149**

Pamela Abrams, IRA, (Claimant) vs. Citigroup Global Markets, Inc., f/k/a Salomon Smith Barney, Inc., (Respondent)

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**ATTORNEYS:**

For Claimant appeared Rod M. Bidguli, Esq., of the firm Irvine Law Corporation, PLC, Irvine, CA.

For Respondent appeared in-house counsel Rebecca J. Behr, Esq., New York, NY.

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** September 24, 2004

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**CASE SUMMARY:** Claimant alleged that Respondent breached its fiduciary duty, misrepresented facts, and recommended investments, which were unsuitable for her needs. Claimant further alleged failure to supervise and violations of state and federal securities laws. Claimant's claim involved various common stocks.

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**Claim Data**

Claim: \$25,000.00  
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: \$.00  
Other: \$.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 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 previously waived the \$300.00 hearing session deposit for the Claimant. 7) Respondent is liable and shall pay NASD \$300.00 as reimbursement of the hearing session deposit. 8) NASD Dispute Resolution shall retain the \$125.00 filing fee that Claimant deposited previously.

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

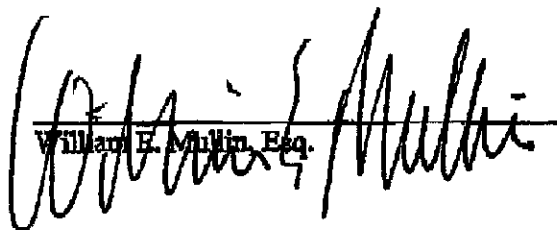
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Award 04-07149

William E. Mullin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, William E. Mullin, 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.

  
William E. Mullin, Esq.

9-8-05  
(Signature Date)

September 8, 2005  
Date of Service (For NASD-DR office use only)