

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08670

Nelson E. White, (Claimant) vs. Citigroup Global Markets, Inc., (Respondent)

ATTORNEYS:

For Claimant appeared Jan Graham, Esq., of the firm The Law Offices of Jan Graham, Salt Lake City, UT.

For Respondent appeared A. Jamie Schupp, Esq., of the firm Neal, Gerber & Eisenberg, LLP, Chicago, IL.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: December 17, 2004

CASE SUMMARY: Claimant alleged that Respondent intentionally and recklessly failed to disclose material facts regarding the sale of WorldCom stock. Claimant further alleged that Respondent breached its fiduciary duty and violated state and federal securities laws. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved WorldCom stock.

Claim Data

Claim: \$18,042.18.
Punitive: \$6,900.00
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50
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) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one half 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.

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William Urga, Esq.

Sole Public Arbitrator

AFFIRMATION

I, William Urga, 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 Urga
William Urga, Esq.

8/12/05
(Signature Date)

August 12, 2005

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