

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

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CASE: 05-00219

Doreen Keeley (Claimant) v. Citigroup Global Markets, Inc. (Respondent)

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**ATTORNEYS:**

For Claimant Doreen Keeley ("Claimant") appeared David Bishop, Esq., Sayville, NY.  
Claimant appeared Pro Se

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

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

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**DATE FILED:** January 14, 2005.

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**CASE SUMMARY:** Claimant alleged that a broker employed by the Respondent traded in her account without her approval and churned her account. Claimant further alleged that Respondent failed to supervise the broker. Claimant maintained that due to Respondent's actions, her account suffered losses. Claimant's claim involved unspecified common stocks.

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**Claim Data**

Claim: \$25,000.00  
Interest: \$0.00  
Filing Fees: \$0.00  
Other: Unspecified

**Award Data**

Award: \$25,000.00  
Interest: 9% fr. 7/22/99-payment  
Filing Fees: \$425.00  
Other: \$0.00

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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) Respondent is liable for and shall pay to Claimant \$25,000.00. 2) Respondent is liable for and shall pay to Claimant interest at the rate of 9% per annum from July 22, 1999 through the date of payment of the award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

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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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**OTHER ISSUES:** Respondent's motion to dismiss was denied by the arbitrator.

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Award 05-00219

Earl S. Roberts

- Sole Public Arbitrator

AFFIRMATION

I, Earl S. Roberts, 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.

Earl S. Roberts  
Earl S. Roberts

May 26, 2005  
Signature Date

June 2, 2005  
Date of Service (For NASD-DR office use only)