

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01448

Eugene T. Hopkins, (Claimant) vs. Citigroup Global Markets, Inc., Jeffrey L. Sweitzer, Matthew J. Muller, Sr. and Randy Matz, (Respondents)

ATTORNEYS:

For Claimant appeared Robert G. McIver, Esq., of the firm Hunter, Higgins, Miles, Elam & Benjamin, PLLC, Greensboro, NC.

For Respondents appeared Meg G. Cox, Esq., of the firm Kennedy Covington Lobdell & Hickman, L.L.P., Charlotte, NC.

NATURE OF DISPUTE: Customer v. Member and Associated Persons

DATE FILED: March 15, 2005

CASE SUMMARY: Claimant alleged that Respondents placed him in investments that were unsuitable for his needs. Claimant further alleged breach of contract, breach of fiduciary duty and failure to supervise. Claimant maintained that due to Respondents' actions, he suffered financial losses. Claimant's claim involved various common stock and mutual funds.

Claim Data

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

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) The Panel recommends the expungement of all reference to the above captioned arbitration from Respondent Jeffrey L. Sweitzer's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Jeffrey L. Sweitzer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is false. 7) The Panel recommends the expungement of all reference to the above captioned arbitration from Respondent Matthew J. Muller, Sr.'s registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to

Members 04-16, Respondent Matthew J. Muller, Sr. must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is false. 8) The Panel recommends the expungement of all reference to the above captioned arbitration from Respondent Randy Matz's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Randy Matz must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is false.

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.

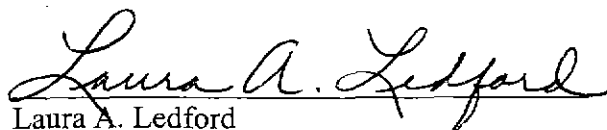
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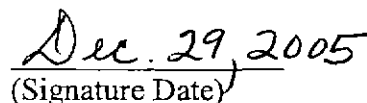
Laura A. Ledford

Sole Public Arbitrator

AFFIRMATION

I, Laura A. Ledford, 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.


Laura A. Ledford


(Signature Date)

January 6, 2006

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