

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01493

Janet Carafa, (Claimant) vs. Citigroup Global Markets, Inc., Henry Buolbol and Edward Boulbol, (Respondents)

ATTORNEYS:

For Claimant appeared Paul P. Pacchiana, Esq., Naples, FL.

For Respondents appeared Citigroup's in-house counsel Mary Reiser, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: March 16, 2005

CASE SUMMARY: Claimant alleged that Respondents made unsuitable investments and unauthorized trades in her account. Claimant further alleged failure to supervise, negligence and breach of fiduciary duty. Claimant maintained that due to Respondents' actions, she suffered a loss. Claimant's claim involved various Mutual Funds and common stock.

Claim Data

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

Award Data

Award: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

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.

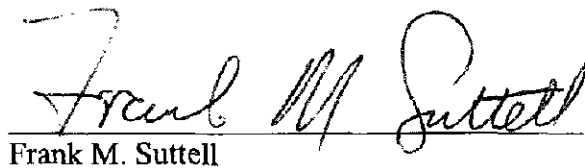
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Award 05-01493

Frank M. Suttell

Sole Public Arbitrator

AFFIRMATION

I, Frank M. Suttell, 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.


Frank M. Suttell

7/18/05
(Signature Date)

July 27, 2005

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