

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

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CASE: 05-02081

Tania Jurtshuk-Sampson, M.D., (Claimant) vs. Citigroup Global Markets, Inc. and Rodger Farquhar, (Respondents)

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**ATTORNEYS:**

Claimant appeared pro se, New York, NY.

For Respondents appeared Rebecca J. Nelson, Esq., New York, NY.

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**NATURE OF DISPUTE:** Customer v. Member and Associated Person

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**DATE FILED:** April 19, 2005

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**CASE SUMMARY:** Claimant alleged that Respondents' negligence, failure to supervise and omission of facts caused her to suffer financial losses. Claimant further alleged that Respondents' placed her in unsuitable investments for her needs. Claimant's claim involved various common stock.

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**Claim Data**

Claim: \$10,000.00  
Filing Fees: Unspecified

**Award Data**

Award: \$.00  
Filing Fees: \$162.50

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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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 4) Respondents are jointly and severally liable and shall pay Claimant \$162.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, Citigroup Global Markets, Inc., has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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Award 05-02081

Richard E. Lerner, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard E. Lerner, Esq., 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.

Richard E. Lerner

Richard E. Lerner, Esq.

8/27/05

(Signature Date)

SEPTEMBER 6, 2005

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