

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-04036

Richard B. Dannenberg, (Claimant) vs. Citigroup Global Markets, Inc., (Respondent)

ATTORNEYS:

Claimant appeared pro se, Purchase, NY.

For Respondent appeared in-house counsel Rebecca J. Nelson, Esq., New York, NY.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: August 1, 2005

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

Claim Data

Claim: \$19,976.00
Interest: \$3,750.00
Filing Fees: Unspecified
Other: \$1,160.00

Award Data

Award: \$.00
Interest: \$.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 interest 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 has not paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 05-04036

Dorothy F. Gray, Esq.,

Sole Public Arbitrator

AFFIRMATION

I, Dorothy F. Gray, 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.

Dorothy F. Gray
Dorothy F. Gray, Esq.

12/05/05
(Signature Date)

DECEMBER 14, 2005
Date of Service (For NASD-DR office use only)