

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05826

Citigroup Global Markets, Inc., (Claimant) vs. James Curtis McCauley, (Respondent)

ATTORNEYS:

For Claimant appeared Matthew B. Henneman, Esq., of the firm Watt Beckworth Thompson & Henneman, L.L.P., Houston, TX.

Respondent appeared *pro se*, Longview, TX.

NATURE OF DISPUTE: Member v. Associated Person

DATE FILED: November 14, 2005

CASE SUMMARY: Claimant alleged that Respondent breached a contract by failing to repay monies owed pursuant to the terms of a Promissory Note. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$12,857.15
Interest: Unspecified

Attorney Fees: Unspecified
Filing Fees: Unspecified

Award Data

Award: \$12,857.15
Interest: granted at the rate of
6% per annum from 8/20/04-
1/31/06.

Attorney Fees: \$1,500.00
Filing Fees: \$1,000.00

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 and shall pay to the Claimant \$12,857.15. 2) Respondent is liable and shall pay to the Claimant \$1,500.00 for attorney fees. 3) Respondent is liable and shall pay to the Claimant interest at the rate of 6% per annum from August 20, 2004-January 31, 2006. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$1,050.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$1,000.00 as reimbursement of most of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Page Two
Award 05-05826

Charles E. Martin, CPA

Sole Non-Public Arbitrator

AFFIRMATION

I, Charles E. Martin, CPA, 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.

Charles E. Martin

Charles E. Martin, CPA

3-10-06

(Signature Date)

March 13, 2006

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