

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-06024

John E. Price (Claimant) v. Citigroup Global Markets, Inc. and David McGrouther,
(Respondents)

ATTORNEYS:

Claimant appeared *pro se*, Saratoga, CA.

For Respondents appeared in-house counsel, Lydia R. Zaidman, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: November 23, 2005

CASE SUMMARY: Claimant alleged that Respondents negligently handled his account. Claimant further alleged failure to supervise. Claimant maintained that due to Respondents' actions, he suffered a financial loss. Claimant's claim involved unspecified securities products.

Claim Data

Claim: \$22,279.00
Interest: Unspecified
Filing Fees: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Filing Fees: \$212.50

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. 5) Respondents are jointly and severally liable and shall pay Claimant \$212.50 as reimbursement of one-half of the filing fee. 6) Respondent David McGrouther's request for expungement is denied.

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.

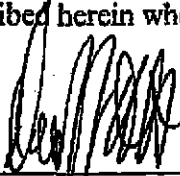
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Award 05-06024

Darryl J. Horowitz, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Darryl J. Horowitz, Esq., 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.



Darryl J. Horowitz, Esq.

4/19/06

(Signature Date)

April 21, 2006

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