

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Larry Jimenez (Claimant) v. Citigroup Global Markets, Inc. (Respondent)

Case Number: 05-06423

Hearing Site: New York, New York

Nature of the Dispute: Associated Person vs. Member.

REPRESENTATION OF PARTIES

Claimant Larry Jimenez hereinafter referred to as "Claimant" appeared *pro se*.

Respondent Citigroup Global Markets, Inc., hereinafter referred to as "Respondent": Marcie S. Mintz, Esq., Citigroup Global Markets, New York, New York.

CASE INFORMATION

Statement of Claim filed on or about: December 15, 2005.

Claimant signed the Uniform Submission Agreement: June 20, 2006.

Statement of Answer filed by Respondent on or about: March 21, 2006.

Respondent signed the Uniform Submission Agreement.

CASE SUMMARY

Claimant asserted the following causes of action: request for review of an alleged violation of company policy and that the formal performance warning be receded.

Unless specifically admitted in its Answer, Respondent denied the allegations made in the Statement of Claim.

RELIEF REQUESTED

Claimant requested that an arbitrator review his alleged violation of company policy and that formal performance warning that was issued in connection with the alleged violation be receded.

Respondent requested that the Statement of Claim be dismissed in its entirety.

OTHER ISSUES CONSIDERED AND DECIDED

The parties have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, the testimony and evidence presented at the hearing, the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claims are dismissed in their entirety.
2. Any and all relief not specifically addressed herein, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$250.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the event giving rise to the dispute. Accordingly, Citigroup Global Markets, Inc., is a party.

Member surcharge	= \$1,500.00
Pre-hearing process fee	= \$ 750.00
Hearing process fee	= \$2,200.00

Forum Fees and Assessments

The Panel has assessed forum fees for each session conducted. A session is any meeting between the parties and the arbitrators, including a pre-hearing conference with the arbitrators, that lasts four (4) hours or less. Fees associated with these proceedings are:

Two (2) Pre-hearing sessions with Panel @ \$1,000.00	= \$2,000.00
Pre-hearing conferences: July 20, 2006	1 session
August 3, 2006	1 session

One (1) Hearing sessions @ \$1,000.00	= \$1,000.00
Hearing Date: October 11, 2006 1 session	
<u>Total Forum Fees</u>	<u>= \$3,000.00</u>

1. The Panel has assessed \$1,500.00 of the forum fees against Claimant.
2. The Panel has assessed \$1,500.00 of the forum fees against Respondent.

Fee Summary

1. Claimant is solely liable for:	
Initial Filing Fee	= \$ 250.00
Forum Fees	= \$1,500.00
<u>Total Fees</u>	<u>= \$1,750.00</u>
<u>Less payments</u>	<u>= \$1,500.00</u>
Balance Due NASD Dispute Resolution	= \$ 250.00
2. Respondent is solely liable for:	
Member Fees	= \$4,450.00
Forum Fees	= \$1,500.00
<u>Total Fees</u>	<u>= \$5,950.00</u>
<u>Less payments</u>	<u>= \$4,450.00</u>
Balance Due NASD Dispute Resolution	= \$1,500.00

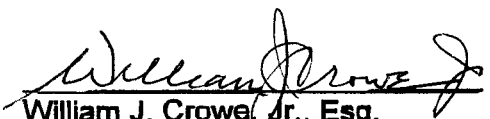
All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

William J. Crowe, Jr., Esq. -	Non-Public Arbitrator, Presiding Chairperson
Joseph D. Cosgrove, Esq. -	Non-Public Arbitrator
Ravi Jethmal -	Non-Public Arbitrator

Concurring Arbitrators' Signatures

I, the undersigned arbitrator, 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 in which is my award.



William J. Crowe, Jr., Esq.
Non-Public Arbitrator, Presiding Chairperson

10/14/06

Signature Date

Joseph D. Cosgrove, Esq.
Non-Public Arbitrator

Signature Date

Ravi Jethmal
Non-Public Arbitrator

Signature Date

October 19, 2006

Date of Service (For NASD Dispute Resolution use only)

ARBITRATION PANEL

William J. Crowe, Jr., Esq. -	Non-Public Arbitrator, Presiding Chairperson
Joseph D. Cosgrove, Esq. -	Non-Public Arbitrator
Jeffrey P. Halperin, Esq. -	Non-Public Arbitrator

Concurring Arbitrators' Signatures

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William J. Crowe, Jr., Esq.
Non-Public Arbitrator, Presiding Chairperson

Signature Date



Joseph D. Cosgrove, Esq.
Non-Public Arbitrator

10/17/06
Signature Date

Jeffrey P. Halperin, Esq.
Non-Public Arbitrator

Signature Date

October 19, 2006

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William J. Crowe, Jr., Esq.
Non-Public Arbitrator, Presiding Chairperson

Signature Date

Joseph D. Cosgrove, Esq.
Non-Public Arbitrator

Signature Date



Jeffrey P. Halperin, Esq.
Non-Public Arbitrator



Signature Date

October 19, 2006

Date of Service (For NASD Dispute Resolution use only)