

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03039

Christiana Lusher, (Claimant) vs. Roland Austin Jacobus III, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Palatine, IL.

For Respondent appeared Citigroup Global Markets, Inc.'s in-house counsel, Lydia R. Zaidman, Esq., New York, NY.

NATURE OF DISPUTE: Customer vs. Associated Person

DATE FILED: June 22, 2006

CASE SUMMARY: Claimant alleged that Respondent breach his fiduciary duty by misrepresenting facts regarding investments in her account. Claimant further alleged failure to execute sales instructions. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved common stock and bonds.

Claim Data

Claim: \$19,000.00
Punitive: \$4,000.00
Filing Fees: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$.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 punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution waived the \$425.00 filing fee that the Claimant would have deposited at the time of filing. 5) The Arbitrator has determined that the filing fees shall remain waived. 6) The Arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Roland Austin Jacobus III's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Roland Austin Jacobus III must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is false.

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

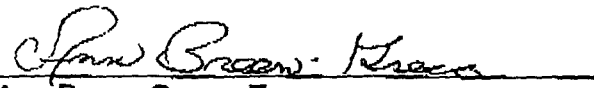
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Ann Breen-Greco, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Ann Breen-Greco, 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.


Ann Breen-Greco, Esq.


(Signature Date)

November 20, 2006

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