

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-03261

Donna Fryburg, (Claimant) vs. Citigroup Global Markets, Inc., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Eugene, OR.

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

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: July 4, 2006

CASE SUMMARY: Claimant alleged that Respondent failed to properly advise her on investments in her account. Claimant further alleged lack of reasonable action and attention. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved common stock.

Claim Data

Claim: \$4,800.00

Filing Fees: Unspecified

Award Data

Award: \$.00

Forum Fees: \$62.50

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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously. 4) Respondent shall pay Claimant \$62.50 as reimbursement of one half of the forum fee for the case to be decided on the paper record.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Award 06-03261

Nancy E. Hochman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Nancy E. Hochman, 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.



Nancy E. Hochman, Esq.

11/20/06

(Signature Date)

November 27, 2006

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