



Financial Industry Regulatory Authority

FINRA DR
In the Matter of Arbitration Between

Case: Marco Roman v Citigroup Global Markets, Inc.
Docket: 06-S007

Attorneys:

For Claimant(s): Timothy A. Canning - Novato, CA
For Respondent(s): Hugo A. Hilgendorff - New York, NY

Date Filed: 5/1/2006

First Scheduled: 08/16/2006

Decided: 9/20/2007

Case Summary: Claimant, a public customer, alleges fraud, negligence, breach of contract and breach of fiduciary duty, misrepresentation, lack of a reasonable basis, failure to supervise, and violations of NASD and NYSE rules regarding purchase of shares of a new offering, Build A Bear Workshop. Claimant seeks compensatory damages plus interest, and punitive damages.

Product: Equity

Market: ARCA

Claim:

Claim

Claim: \$60,670.52
Punitive: UNSPECIFIED
Atty Fees: \$0.00
Deposit: \$500.00

Award:

Award

Award: \$0.00
Punitive: \$0.00
Atty Fees: \$0.00
Costs: \$1,850.00

Forum Fees: \$2,000.00

Decision: The undersigned arbitrator(s) have decided and determined that in full and final settlement of all claims between the parties that: The claim of the Claimant be and hereby is dismissed in all respects. NYSE Regulation forum fees, \$2,000.00, are assessed against Claimant. NYSE Regulation costs, \$1,350.00, for three prehearing conferences are assessed \$900.00 against Claimant and \$450.00 against Respondent. NYSE Regulation costs, \$500.00, for an adjournment are assessed equally against the parties.

Remarks:

The undersigned arbitrators hereby affirm that they have executed this instrument which is their award:

Arbitrators: (D = Dissents)

Brian B. Randolph

Frank R. Weaver

Walter Huntley

City, State: San Francisco, CA

Signatures:

Date: 9/20/2007

Sessions: 4

Hearing Dates:

09/19/2007, (2)

09/20/2007, (2) investor protection. Market integrity:

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