

FINRA DISPUTE RESOLUTION AWARD
FINRA DISPUTE RESOLUTION

CASE: 07-03186

Smith Barney, a division of Citigroup Global Markets, Inc. by and through its assignee DSP, LLC, ("Claimant") vs. Barry Do, ("Respondent")

ATTORNEYS:

For Claimant appeared Justin Joseph D'Elia, Esq., of the firm Duane Morris LLP, New York, NY.

Respondent appeared *pro se*, San Jose, CA.

NATURE OF DISPUTE: Member vs. Customer

DATE FILED: November 9, 2007

CASE SUMMARY: Claimant alleged that Respondent failed to repay monies owed as a result of a debit balance for failure to pay for shares for an IPO of Vonage Stock. Claimant maintained that due to Respondent's actions, the firm suffered a financial loss.

Claim Data

Claim: \$7,852.00
Interest: Unspecified

Award Data

Award: \$.00
Interest: \$.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 Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) FINRA Dispute Resolution shall retain the \$750.00 filing fee that the Claimant deposited previously

OTHER FEES: Claimant has paid to FINRA Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

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Award 07-03186

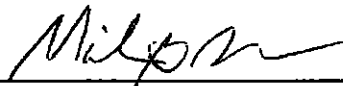
Nick G. Tarlson

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Sole Public Arbitrator

AFFIRMATION

I, Nick G. Tarlson, 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.



Nick G. Tarlson

4/5/08
(Signature Date)

April 8, 2008
Date of Service (For FINRA-DR office use only)