

Award
FINRA Dispute Resolution

In the Matter of the Arbitration Between:

Claimant
Julia Numair

Case Number: 13-02035

vs.

Respondent
Citigroup Global Markets, Inc.

Hearing Site: New York, New York

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant Julia Numair: Michael Deutsch, Esq., Singer Deutsch LLP, New York, New York.

For Respondent Citigroup Global Markets, Inc.: Kevin B. Walker, Esq., McElroy, Deutsch, Mulvaney & Carpenter, LLP, Morristown, New Jersey.

CASE INFORMATION

Statement of Claim filed on or about: July 10, 2013.

Claimant signed the Submission Agreement: May 30, 2013.

Statement of Answer filed by Respondent on or about: September 23, 2013.

Respondent signed the Submission Agreement: July 10, 2013.

CASE SUMMARY

Claimant asserted the following causes of action: constructive termination, failure to adequately compensate, failure to equitably compensate, failure to promote, failure to support transition to another job, threats to "force" to resign, despicable efforts by superior to demean and undermine in front of colleagues, quantum meruit and unjust enrichment.

Unless specifically admitted in its Answer, Respondent denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested compensatory damages of approximately \$700,000.00, quantum meruit/unjust enrichment damages, cash value of her deferred compensation, or alternatively, approximately 2,886.18 capital accumulation program deferred stock award, punitive damages, attorneys' fees, costs, and such other and further relief as deemed just and proper.

At the close of the hearing, Claimant requested compensatory damages in the amount of \$994,169.75 plus interest.

Respondent requested that Claimant's claim be dismissed.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrators acknowledge that they have each read the pleadings and other materials filed by the parties.

At the conclusion of Claimant's case-in-chief, Respondent made a Motion to Dismiss. Claimant opposed the motion. After due deliberation, the Panel deferred its decision on the motion pending the conclusion of the evidentiary hearing.

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 denied in their entirety.
2. Any and all relief not specifically addressed herein, including punitive damages, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution assessed a filing fee* for each claim:

Initial Claim Filing Fee	= \$ 1,575.00
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**The filing fee is made up of a non-refundable and a refundable portion.*

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 events giving rise to the dispute. Accordingly, as a party, Citigroup Global Markets, Inc. is assessed the following:

Member Surcharge	= \$ 2,250.00
Pre-Hearing Processing Fee	= \$ 750.00
Hearing Processing Fee	= \$ 4,000.00

Discovery-Related Motion Fees

Fees apply for each decision rendered on a discovery-related motion.

Two (2) Decisions on discovery-related motions on the papers with (1) one arbitrator @ \$200.00	= \$ 400.00
Claimant submitted (1) one discovery-related motion	
Respondent submitted (1) one discovery-related motion	
Total Discovery-Related Motion Fees	= \$ 400.00

The Panel has assessed the discovery-related motion fees of \$400.00 to Respondent.

Hearing Session Fees and Assessments

The Panel has assessed hearing session 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:

One (1) Pre-hearing session with the Panel @ \$1,200.00	= \$ 1,200.00
Pre-hearing conference: December 3, 2013 1 session	
Twelve (12) Hearing sessions @ \$1,200.00	= \$14,400.00
Hearing Dates:	
March 17, 2015	2 sessions
March 18, 2015	2 sessions
March 24, 2015	2 sessions
March 25, 2015	2 sessions
June 2, 2015	2 sessions
June 3, 2015	2 sessions
Total Hearing Session Fees	= \$15,600.00

The Panel has assessed the hearing session fees of \$15,600.00 to Respondent.

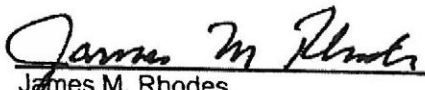
All balances are payable to FINRA Dispute Resolution and are due upon receipt.

ARBITRATION PANEL

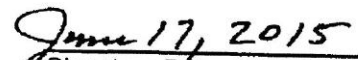
James M. Rhodes	-	Public Arbitrator, Presiding Chairperson
David J. Weisenfeld	-	Public Arbitrator
Mary A. Dubas	-	Non-Public Arbitrator

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 which is my award.

Concurring Arbitrators' Signatures



James M. Rhodes
Public Arbitrator, Presiding Chairperson



Signature Date

David J. Weisenfeld
Public Arbitrator

Signature Date

Mary A. Dubas
Non-Public Arbitrator

Signature Date

June 17, 2015
Date of Service (For FINRA Dispute Resolution office use only)

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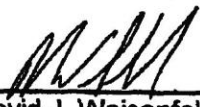
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Mary A. Dubas
Non-Public Arbitrator

6/22/15

Signature Date

June 17, 2015

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