

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-02388

James Reid, claimant vs. Citibank Retirement Plan Services and Citicorp Financial Services
n/k/a Citicorp Investment Services, Inc., respondents.

ATTORNEYS:

Claimant appeared Pro Se, Brooklyn, NY.

For Respondent Citicorp Investment Services, Inc., appeared Marc Frimet, Vice President and
Associate General Counsel, Long Island City, NY.

Respondent Citibank Retirement Plan Services did not respond to the Statement of Claim.

DATE FILED: May 24, 1999

CASE SUMMARY: Claimant alleged respondent failed to change his Citibank IRA from a CD
into a mutual fund. Specifically, claimant requested that his IRA account be transferred into a
Fidelity Mutual Fund and an AIM Mutual Fund.

Claim Data

Claim: \$1,800.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$500.00
Filing Fees: \$75.00
Other: \$.00

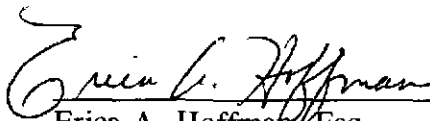
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of
the issues submitted for determination as follows: 1) Respondent Citicorp Investment Services
is liable and shall pay to the claimant \$500.00. 2) All other relief requests are denied. 3) The
\$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant,
shall be retained by NASD Dispute Resolution, Inc. 4) Respondent Citicorp Investment
Services, Inc., is liable and shall pay claimant \$75.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, Citicorp Investment Services,
Inc., has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously
invoiced.

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AFFIRMATION

I, Erica A. Hoffman, Esq., 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.


Erica A. Hoffman, Esq.

November 17, 2000
Date of Award