

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Seymour Goldenberg, IRA; Sonya Goldenberg, IRA; Seymour Goldenberg & Sonya Goldenberg (Claimants) vs. Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets and Anthony Parisi (Respondents)

Case Number: 02-05167

Hearing Site: New York, New York

Nature of Dispute: Public Customers vs. Member and Associated Person

REPRESENTATION OF PARTIES

Claimants, Seymour Goldenberg, IRA; Sonya Goldenberg, IRA; Seymour and Sonya Goldenberg, hereinafter collectively referred to as "Claimants": Frank Viola, Esq., Viola, Benedetti & Azzolini, LLC, Florham Park, NJ.

Respondents, Salomon Smith Barney, Inc., n/k/a Citigroup Global Markets ("Salomon") and Anthony Parisi ("Parisi") hereinafter collectively referred to as "Respondents": William Hohausser, Esq., New York, NY.

CASE INFORMATION

Statement of Claim filed on or about: August 28, 2002.

Claimants signed the Uniform Submission Agreement: August 8, 2002.

Joint Statement of Answer filed by Respondents on or about: November 27, 2002.

Salomon signed the Uniform Submission Agreement: November 27, 2002.

Parisi signed the Uniform Submission Agreement: December 6, 2002.

CASE SUMMARY

Claimants asserted the following causes of action: negligence, breach of duty, failure to supervise, violation of Rule 2110 and respondeat superior. Claimants' claims include the following securities: ATT, Tel Save, AOL, Global Crossing and WorldCom.

Unless specifically admitted in their Answer Respondents denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

Claimants requested judgment against Salomon jointly, severally and/or in the alternative, as the case may be, for damages and/ or losses, including, but not limited to, attorneys' fees, costs, disbursements, and such other and further relief as the Panel deems

proper.

Respondents requested that the claim be dismissed in its entirety, and that respondents be awarded their costs.

OTHER ISSUES CONSIDERED AND DECIDED

During the hearing in this matter, Respondents filed a Motion to Dismiss. The Panel denied the motion.

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. Respondents Salomon and Parisi are jointly and severally liable and shall pay to the Claimants \$32,819.00 as compensatory damages.
2. Respondents Salomon and Parisi are jointly and severally liable and shall pay to the Claimants, \$10,000.00 as attorneys' fees.
3. Any and all relief not specifically addressed herein is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$250.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firms that employed the associated persons at the time of the events giving rise to the dispute. Accordingly, Salomon Smith Barney, Inc., n/k/a Citigroup Global Markets is a party.

Member surcharge	= \$1,500.00
Pre-hearing process fee	= \$ 750.00
Hearing process fee	= \$2,200.00

Forum Fees and Assessments

The Panel has assessed forum 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 Panel @ \$1000.00		= \$1000.00
Pre-hearing conference: February 14, 2003	1 session	
Four (4) Hearing sessions with Panel @ \$1,000.00		= \$4,000.00
Hearing Dates: October 14, 2003	2 sessions	
October 15, 2003	2 sessions	
Total Forum Fees		= \$5,000.00

1. The Panel has assessed \$2,500.00 of the forum fees jointly and severally against Claimants.
2. The Panel has assessed \$2,500.00 of the forum fees jointly and severally against Respondents.

Fee Summary

1. Claimants are jointly and severally liable for:

Initial Filing Fee	= \$ 250.00
Forum Fees	= \$2,500.00
Total Fees	= \$2,750.00
Less payments	= \$1,250.00
Balance Due NASD Dispute Resolution	= \$1,500.00
2. Respondent Salomon is solely liable for:

Member Fees	= \$4,450.00
Total Fees	= \$4,450.00
Less payments	= \$4,450.00
Balance Due NASD Dispute Resolution	= \$ 0.00
3. Respondents Salomon and Parisi are jointly and severally liable for:

Forum Fees	= \$2,500.00
Total Fees	= \$2,500.00
Less payments	= \$ 0.00
Balance Due NASD Dispute Resolution	= \$2,500.00

All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Eugene Mathias Schloss, Jr., Esq - Public Arbitrator, Presiding Chair
Evan Janovic - Public Arbitrator
Jennifer J. Winstel - Non-Public Arbitrator

Concurring Arbitrators' Signatures

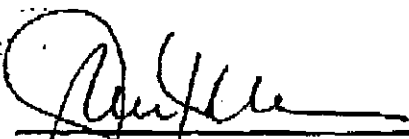
I, the undersigned arbitrator, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein and who executed this instrument which is my award.

Eugene Mathias Schloss, Jr., Esq.
Public Arbitrator, Presiding Chairperson

Signature Date

Evan Janovic
Public Arbitrator

Signature Date



Jennifer J. Winstel
Non-Public Arbitrator

11-12-03

Signature Date

November 13, 2001

Date of Service (For NASD Dispute Resolution use only)

ARBITRATION PANEL

Eugene Mathias Schloss, Jr., Esq - Public Arbitrator, Presiding Chair
Evan Janovic - Public Arbitrator
Jennifer J. Winstel - Non-Public Arbitrator

Concurring Arbitrators' Signatures

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Eugene Mathias Schloss, Jr., Esq.
Public Arbitrator, Presiding Chairperson

Signature Date



Evan Janovic
Public Arbitrator



Signature Date

Jennifer J. Winstel
Non-Public Arbitrator

Signature Date

November 13, 2003

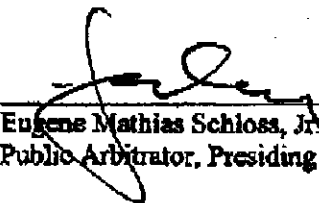
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Concurring Arbitrators' Signatures

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Eugene Mathias Schloss, Jr., Esq.
Public Arbitrator, Presiding Chairperson

11/12/02

Signature Date

Evan Janovic
Public Arbitrator

Signature Date

Jennifer J. Winstel
Non-Public Arbitrator

Signature Date

November 13, 2003

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