

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-00275

Linda Broeske, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.
and Jack B. Grubman, Respondents

ATTORNEYS:

For Claimant Linda Broeske ("Claimant") appeared James Richard Hooper, Esq., of the firm
Hooper & Weiss, L.L.C., Orlando, FL.

For Respondents Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B.
Grubman ("Respondents") appeared Bradford D. Kaufman, Esq., of the firm Greenberg Traurig,
P.A., West Palm Beach, FL.

NATURE OF DISPUTE: Customer v. Member and Associated Person.

DATE FILED: January 13, 2003.

CASE SUMMARY: Claimant alleged that Respondents violated each of the following: Section 10(b) and Rule 10b-5 of the Securities Exchange Act of 1934, Chapter 517.301 of the Florida Securities and Investor Protection Act, NASD Conduct Rules and NYSE Rules. Claimant further alleged that she were defrauded by the Respondents as a result of deliberate and willful fraudulent practices in issuing misleading research reports, failing to disclose material conflicts of interest, breaching their fiduciary duties, and denying the Claimant all benefits of independent and objective analysis and meaningful compliance and supervision with respect to the offer and sale of WorldCom stock.

Claim Data	Award Data
Claim: \$1,923.27	Award: \$1,910.97
Claim: Disgorgement and restitution	Award: \$.00
Punitive: Unspecified	Punitive: \$.00
Interest: Pre & Post Judgement	Interest: \$.00
Attorney Fees: Unspecified	Attorney Fees: \$.00
Filing Fees: Unspecified	Filing Fees: \$37.50
Other: Unspecified	Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the Claimant \$1,910.97. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 6) Respondents are jointly and severally liable and shall pay claimant \$37.50 as reimbursement of one-half of the filing fee.

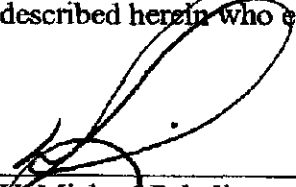
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

ARBITRATOR

V. Michael Pabalis - Sole Public Arbitrator

AFFIRMATION

I, V. Michael Pabalis, 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.



V. Michael Pabalis

10/23/04
Signature Date

November 1, 2004
Date of Service (For NASD-DR office use only)