

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-00803

Robert M. Ferris, Trustee Edgar V. Nash Family Trust FOB Nancy Nash-Cummings, Claimant vs. Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets, Inc., Patricia Pellegrino, and Peter Kelly, Respondents.

ATTORNEYS:

Claimant, Robert M. Ferris, Trustee Edgar V. Nash Family Trust FOB Nancy Nash-Cummings, appeared pro se, Windsor, VT.

For Respondents, Salomon Smith Barney, Inc., n/k/a Citigroup Global Markets, Inc., Patricia Pellegrino, and Peter Kelly, appeared in-house counsel, Ann Parry, Esq., New York, NY.

DATE FILED: February 3, 2003

CASE SUMMARY: Claimant alleged that Respondents carried out an unauthorized sale of Mutual Funds in the Trust Account. Claimant maintained that due to Respondents' actions, the Trust suffered financial losses.

Claim Data

Claim: \$5,520.28
Filing Fees: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.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 other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets, Inc. has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

Stanley H. Ragle, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Stanley H. Ragle, Esq., 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.

Stanley H. Ragle
Stanley H. Ragle, Esq.

August 11, 2003
Signature Date

August 25, 2003
Date of Service (For NASD-DR office use only)