

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASES: 03-1134 and 03-1135

Kenneth Vilcheck, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc.,
Respondent.

Philip H. Brice, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc.,
Respondent.

ATTORNEYS:

For Claimants, Kenneth Vilcheck and Philip H. Brice (collectively "Claimant"), appeared Thomas
L. Stephenson, Esq., of the firm Nexsen Pruet Jacobs & Pollard, LLC. Greenville, SC.

For Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc, appeared
Allison O. Van Laningham, Esq. of the firm Smith Moore LLP. Greensboro, NC.

DATE FILED:

Case 03-01134: February 14, 2003

Case 03-01135: February 14, 2003

CASE SUMMARY: Claimants alleged that Respondent failed to pay owed commissions.
Claimants maintained that due to Respondent's action, they suffered financial losses.

Claim Data

Case 03-01134:

Claim: \$9,873.00

Punitive: \$14,127.00

Attorney Fees: \$2,500.00

Filing Fees: \$875.00

Other: Unspecified

Case 03-01135:

Claim: \$12,323.00

Punitive: \$11,677.00

Attorney Fees: \$2,500.00

Filing Fees: \$875.00

Other: Unspecified

Award Data

Award: \$.00

Punitive: \$.00

Attorney Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award: \$.00

Punitive: \$.00

Attorney Fees: \$.00

Filing Fees: \$.00

Other: \$.00

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AWARD:

Cases 03-01134 and 03-01135:

The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimants are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that Vilcheck deposited for Case 03-01134. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that Brice deposited for Case 03-01135.

OTHER FEES:

Case 03-01134:

Pursuant to Rule 10333 of the Code, Respondent has not paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Case 03-01135:

Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.


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Gordon F. Linke

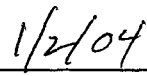
Sole Non-Public Arbitrator

AFFIRMATION

I, Gordon F. Linke, 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.



Gordon F. Linke



Signature Date

January 9, 2004

Date of Service (For NASD-DR office use only)