

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01779

Mabel J. Morgan, IRA and John and Mabel Morgan Revocable Trust, Claimants vs. John Macchi and Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets Inc., Respondents.

ATTORNEYS:

Claimant appeared pro se, El Sobrante, CA.

For Respondents appeared in-house counsel, Ann Parry, Esq., New York, NY.

DATE FILED: February 25, 2002

CASE SUMMARY: Claimant alleged that Respondents failed to execute her order for the sale of all of her WorldCom Corporate Bonds at the time she made the request. Claimant maintained that due to Respondents' actions, the accounts suffered losses.

Claim Data

Claim: \$4,200.00

Filing Fees: \$.00

Award Data

Award: \$.00

Filing Fees: \$87.50

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 \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly and severally liable and shall pay Claimant \$87.50 as reimbursement of one-half of the filing fee.

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 \$200.00 Member Surcharge previously invoiced.

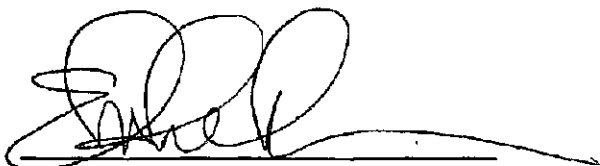
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Award 03-01779

Elizabeth L. Morrison

Sole Public Arbitrator

AFFIRMATION

I, Elizabeth L. Morrison, 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.



Elizabeth L. Morrison

9/3/03
Signature Date

September 10, 2003

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