

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01889

Linda A. Durso, Claimant vs. Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets Inc., Respondent.

ATTORNEYS:

Claimant, Linda A. Durso, ("Claimant"), appeared pro se., Colts Neck, NJ.

Respondent, Salomon Smith Barney, Inc. n/k/a Citigroup Global Markets Inc., ("Respondent"), appeared through its in-house counsel, Ann Parry, Esq., New York, NY.

DATE FILED: March 17, 2003

CASE SUMMARY: Claimant alleged that Respondent placed her in investments that were unsuitable to her objectives. Claimant further alleged Respondent breached its fiduciary duty and misrepresented facts regarding the investment she was placed in. Claimant's claim involved stocks, bonds, and mutual funds. Claimant maintained that due to Respondent's actions, she suffered financial losses.

Claim Data

Claim: \$20,000.00
Filing Fees: \$.00
Other: Release of SEP IRA account

Award Data

Award: \$1,321.33
Filing Fees: \$425.00
Other: Granted

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$1,321.33. 2) The arbitrator has ordered Respondent to "release (Claimant's) SEP IRA account without any cost" to Claimant, who has indicated she will open a Rollover SEP IRA with Scottrade in order to receive said account. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay Claimant \$425.00 as reimbursement 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 \$425.00 Member Surcharge previously invoiced.

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Award 03-01889

Frank R. Fioramonti, Esq.

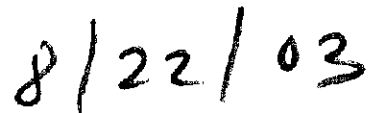
Sole Public Arbitrator

AFFIRMATION

I, Frank R. Fioramonti, Esq., 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.



Frank R. Fioramonti, Esq.



Signature Date

September 4, 2003
Date of Service (For NASD-DR office use only)