

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-02233

Pam Johansen, Claimant vs. Salomon Smith Barney, Inc., Respondent.

ATTORNEYS:

Claimant, Pam Johansen ("Claimant"), appeared Pro Se., Juneau AK.

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 26, 2003

CASE SUMMARY: Claimant alleged that she purchased shares of WorldCom, Inc. at the recommendation of her financial consultant. Claimant further alleged that the recommendation was based on false and misleading reports issued by a Salomon Smith Barney, Inc. research analyst. Claimant maintained that due to Respondent's actions, she suffered financial losses.

Claim Data

Claim: \$3,369.96
Interest: unspecified
Attorney Fees: unspecified
Filing Fees: \$175.00
Other: unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.00
Other: \$.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 requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$175.00 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 \$200.00 Member Surcharge previously invoiced.

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Award 03-02233

Barbara L. Edin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Barbara L. Edin, 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.



Barbara L. Edin, Esq.

8-15-03

Signature Date

September 5, 2003

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