

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-02251

Marjorie Goldstein, Custodian for Hillary and Melissa Goldstein, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc. and David Joel Cohen, Respondents.

ATTORNEYS:

For Claimant, Marjorie Goldstein, Custodian for Hillary and Melissa Goldstein, ("Claimant"), appeared George Warhit, Esq., of the firm George Warhit, P.C. New York, NY.

Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc. and David Joel Cohen, (collectively "Respondents"), appeared their in-house counsel, Ann Parry, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: March 28, 2003

CASE SUMMARY: Claimant alleged that Respondents misrepresented and recommended unsuitable WorldCom stock. Claimant maintained that due to Respondent's action, her custodial accounts suffered financial losses.

Claim Data

Claim: \$9,089.00
Punitive: Unspecified
Interest: Unspecified
Filing Fees: \$.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$162.50
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 punitive damages are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 6) Respondent Citigroup Global Markets, Inc. is liable and shall pay to the Claimant \$162.50 as reimbursement of one half of the filing fee.

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

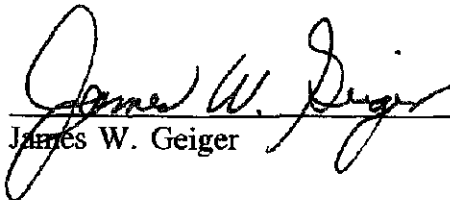
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Award 03-02251

James W. Geiger

Sole Public Arbitrator

AFFIRMATION

I, James W. Geiger, 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.


James W. Geiger


Signature Date

January 2, 2004
Date of Service (For NASD-DR office use only)