

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-03854

Carl G. Johnson, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc., Jack B. Grubman, and Sandy I. Weill, Respondents.

ATTORNEYS:

Claimant, Carl G. Johnson, ("Claimant"), appeared pro se, Hendersonville, TN.

Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc., Jack B. Grubman, and Sandy I. Weill, (collectively "Respondents"), appeared through their in-house counsel, Ann Parry, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Persons

DATE FILED: May 28, 2003

CASE SUMMARY: Claimant alleged that Respondents misrepresented the growth potential of AT&T wireless unit trading stock. Claimant maintained that due to Respondents' action, his account suffered financial losses.

Claim Data

Claim: \$4,590.00
Filing Fees: \$.00
Other: Unspecified

Award Data

Award: \$.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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc. has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

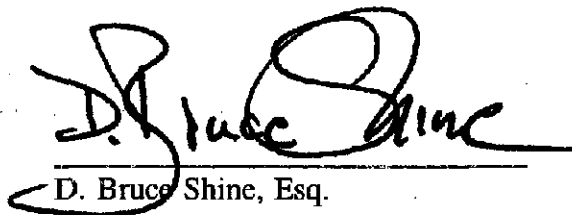
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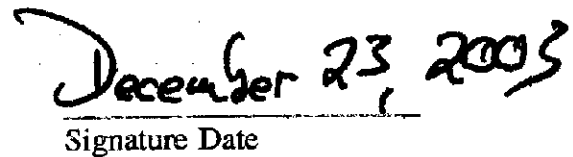
D. Bruce Shine, Esq.

Sole Public Arbitrator

AFFIRMATION

I, D. Bruce Shine, 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.


D. Bruce Shine, Esq.


Signature Date

January 13, 2004
Date of Service (For NASD-DR office use only)