

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-04089

Cliff S. Huang, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc. and Joe L. Tackitt, Jr., Respondents.

ATTORNEYS:

Claimant, Cliff S. Huang, ("Claimant"), appeared pro se, Tai Hang, Hong Kong, China.

Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc. and Joe L. Tackitt, Jr., ("Respondents"), appeared through their in-house counsel, Ann Parry, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: June 5, 2003

CASE SUMMARY: Claimant alleged that Respondents were negligent and failed to execute an order to "Exercise and hold" his options in his Associate Stock Option Plan. Claimant maintained that due to Respondents' action, his account suffered financial losses.

Claim Data

Claim: \$1,484.10
Filing Fees: \$75.00
Other: \$10.00 and 45 shares of
Bank of America Stock

Award Data

Award: \$.00
Filing Fees: \$37.50
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 other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 4) Respondents are jointly and severally liable and shall pay to the Claimant \$37.50 as reimbursement of one-half of the filing fee.

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 \$150.00 Member Surcharge previously invoiced.

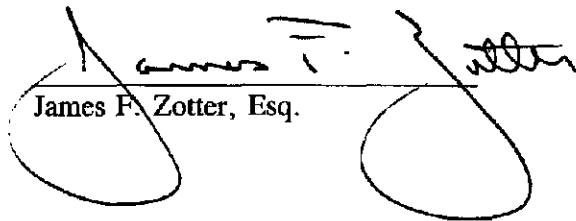
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Award 03-04089

James F. Zotter, Esq.

Sole Public Arbitrator

AFFIRMATION

I, James F. Zotter, 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.


James F. Zotter, Esq.

1/16/04
Signature Date

February 11, 2004
Date of Service (For NASD-DR office use only)