

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-04478

Jean and Judith Fleischer, Claimants vs. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc., Respondent.

ATTORNEYS:

Claimants, Jean and Judith Fleischer, ("Claimants"), appeared pro se, Sunrise, FL.

Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc., appeared through their in-house counsel, Ann Parry, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: June 19, 2003

CASE SUMMARY: Claimants alleged that Respondent breached its fiduciary duty, and misrepresented and omitted material facts about unsuitable stocks, namely Framlington Health Care Fund, IDEX Growth Portfolio-B, and SB Large Capitalization Growth-B mutual funds. Claimants further alleged that Respondent was negligent and failed to supervise its representative. Claimants maintained that due to Respondent's action, their joint account suffered financial losses.

Claim Data

Claim: \$22,907.00

Interest: \$.00

Other: Unspecified

Award Data

Award: \$3,500.00

Interest: At the rate of 6% per annum
from 5/1/01 until 11/14/03.

Other: \$.00

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 Claimants \$3,500.00. 2) Respondent is liable and shall pay to the Claimants interest at the rate of 6% per annum from May 1, 2001 until November 14, 2003. 3) The Arbitrator has waived the \$425.00 Filing fee. 4) All other relief requests are denied.

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 \$425.00 Member Surcharge previously invoiced.

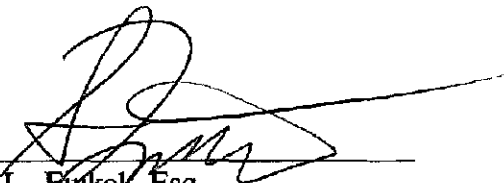
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Seth L. Finkel, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Seth L. Finkel, 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.



Seth L. Finkel, Esq.

12-16-03

Signature Date

January 9, 2004

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