

NASD DISPUTE RESOLUTION AWARD**NASD DISPUTE RESOLUTION**

CASE: 03-04826

Alton Family Trust, Claimant vs. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B. Grubman, Respondents.

ATTORNEYS:

For Claimant, Alton Family Trust, ("Claimant"), appeared James Richard Hooper, Esq. from the firm Hooper & Weiss, LLC. Orlando, FL.

For Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B. Grubman, ("Respondents"), appeared Bradford D. Kaufman from the firm Greenberg Traugott, LLP. West Palm Beach, FL.

NATURE OF DISPUTE: Customer v. Member.

DATE FILED: July 02, 2003.

CASE SUMMARY: Claimant alleged that Respondents violated each of the following: Section 17(a) of the Securities Act of 1933, Chapter 517.301 of the Florida Securities and Investor Protection Act, Nasd Rule 2210(d)(1), and the New York Stock Exchange Rule 202.02. Claimant additionally alleged that Respondents breached their fiduciary duty and omitted to state material facts in connection with the offer and sale of WorldCom stock. Claimant further alleged that Respondent Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. is under the doctrine of respondeat superior. Claimant maintained that due to Respondents' actions, their account suffered financial losses.

Claim Data

Claim: \$1,125.75
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.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. 1) All requests for punitive damages are denied. 2) All requests for interest are denied. 3) All relief requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondents 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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ARBITRATOR

Clinton W. Shinn - Sole Public Arbitrator

AFFIRMATION

I, Clinton W. Shinn, 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.

Clinton W. Shinn
Clinton W. Shinn

Sept. 21, 2004
Signature Date

September 30, 2004
Date of Service (For NASD-DR office use only)