

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-04980

William C. Evans, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.,
Respondent.

ATTORNEYS:

Claimant, William C. Evans, ("Claimant"), appeared pro se, Bainbridge Island, WA.

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

NATURE OF DISPUTE: Customer v. Member

DATE FILED: July 7, 2003

CASE SUMMARY: Claimant alleged that Respondent breached its contract, was negligent in the management of his account, and recommended unsuitable common stocks including EMC, Cisco, Symbol, MCI Worldcom, and Calpine. Claimant maintained that due to Respondent's action, his personal account suffered financial losses.

Claim DataClaim: \$4,700.45
Punitive: \$2,000.00
Filing Fees: \$325.00

Award DataAward: \$.00
Punitive: \$.00
Filing Fees: \$.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 other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously.

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

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Award 03-04980

John E. Edison, Esq.

Sole Public Arbitrator

AFFIRMATION

I, John E. Edison, 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.

John E. Edison

John E. Edison, Esq.

18 Nov 2003

Signature Date

December 1, 2003

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