

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 03-05010

**William R. Bussey, Claimant v. Citigroup Global Markets, Inc., f/k/a Salomon Smith Barney, Inc., and Jack B. Grubman, Respondent**

**ATTORNEYS:**

For Claimant appeared Michael B. Lynch, Esq., of Hooper & Weiss, L.L.C., Orlando, FL.

For Respondents appeared Bradford D. Kaufman, Esq. and Janna S. Nugent, Esq., of Greenberg Traurig, West Palm Beach, FL.

**NATURE OF DISPUTE:** Customer v. Member and Associated Person

**DATE FILED:** July 7, 2003

**CASE SUMMARY:** Claimant alleges Respondents' omission of material facts and failure to reveal conflicts of interest prior to Claimant's purchase of WorldCom stock in violation of Section 17(a), Securities Act of 1933; Chapter 517.301 of the Florida Securities and Investor Protection Act; NASD Rule 2210(d)(1). In addition Claimant alleges a breach of fiduciary duty by Respondents and liability under the doctrine of Respondeat Superior.

**CLAIM DATA**

Claim: \$7,765.76

Punitive Damages: Unspecified

Interest: Unspecified

Attorney Fees: Unspecified

Filing Fees: Unspecified

Other: Unspecified

**AWARD DATA**

Award: \$0.00

Punitive Damages: \$0.00

Interest: \$0.00

Attorney Fees: \$0.00

Filing Fees: \$0.00

Other: \$0.00

**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) All of Claimant's claims are dismissed in entirety, including claims under Chapter 517, Florida Statutes. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees are denied. 5) Any and all other requests for relief are denied. 6) NASD Dispute Resolution will retain all filing fees deposited by Claimant. 7) Respondents will pay none of Claimant's filing fees. 8) Forum Fees in the amount of \$250 are assessed in the amount of \$125 to Claimant and \$125 to Respondents jointly and severally.

**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 Member Surcharge previously invoiced.

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**ARBITRATOR**

George K. Beardsley - Sole Public Arbitrator

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**AFFIRMATION**

I, George K. Beardsley, 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.

  
George K. Beardsley

  
Signature Date

11/02/05  
Date of Service (For NASD-DR office use only)