

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-06406

Barbara Rapoport, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Stephen Kittenplan, Respondents.

ATTORNEYS:

Claimant, Barbara Rapoport, ("Claimant"), appeared pro se, New York, NY.

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

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: September 4, 2003

CASE SUMMARY: Claimant alleged that Respondents breached their fiduciary duty, and misrepresented and omitted material facts about the offer and sale of WorldCom stock. Claimant maintained that due to Respondents' actions, her account suffered financial losses.

Claim Data

Claim: \$17,800.00
Filing Fees: \$125.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$212.50
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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 4) Respondents are jointly and severally liable and shall pay to the Claimant \$212.50 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 \$425.00 Member Surcharge previously invoiced.

ARBITRATOR

Bruce Sanders, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Bruce Sanders, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

Bruce Sanders
Bruce Sanders, Esq.

April 24, 2004
Signature Date

May 5, 2004

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