

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-06434

Carl S. Morberg IRA, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney Inc., Respondent.

ATTORNEYS:

For Claimant, Carl S. Morberg IRA, ("Claimant"), appeared Stuart D. Meissner, Esq., of the firm Stuart D. Meissner, LLC, New York, NY.

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

NATURE OF DISPUTE: Customer v. Member

DATE FILED: September 5, 2003

CASE SUMMARY: Claimant alleged that Respondent breached its contract and fiduciary duty, misrepresented and omitted facts about his investments, engaged in acts of fraud, and violated the Securities & Exchange Act of 1934. Claimant maintained that due to Respondent's action, his account suffered financial losses.

Claim Data

Claim: \$18,109.13
Interest: Unspecified
Attorney Fees: one-third of the Award
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.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 the Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Daniel S. Gottlieb

Sole Public Arbitrator

AFFIRMATION

I, Daniel S. Gottlieb, 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.



Daniel S. Gottlieb

January 26, 2004
Signature Date

February 6, 2004
Date of Service (For NASD-DR office use only)