

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-09206

Randall L. Zotter, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.,
Respondent

ATTORNEYS:

For Claimant, Randall L. Zotter, ("Claimant"), appeared Scott A. Lane, Esq., of the firm Edgar
Snyder & Associates, L.L.C., Pittsburgh, PA.

For Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.,
("Respondents"), appeared Mark L. Parmelee, Esq., of the firm Greenberg Traurig, L.L.P., New
York, NY.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: December 31, 2003.

CASE SUMMARY: Claimant alleged that Respondent violated each of the following: Sections
401 and 501 of the Pennsylvania Securities Act of 1972 and the Pennsylvania Unfair Trade
Practices and Consumer Protection Law. Claimant additionally alleged that Respondent
breached their fiduciary and contractual duties, and omitted to state material facts in connection
with the offer and sale of WorldCom stock. Claimant maintained that due to Respondent's
actions, his account suffered financial losses.

Claim Data

Claim: \$19,246.94

Punitive: \$5,753.06

Interest: Unspecified

Attorney Fees: Unspecified

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$19,246.94

Punitive: \$.00

Interest: 6% per year from 1/31/2002 until
date of award payment.

Attorney Fees: \$7,600.00

Filing Fees: \$425.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of
the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the
Claimant \$19,246.94. 2) Respondent is liable and shall pay to the Claimant interest at a rate of
six percent per year from January 31, 2002 until the date of the award payment. 3) Respondent
is liable and shall pay to the Claimant \$7,600 as a reimbursement for attorney fees. 4) All
requests for punitive damages are denied. 5) All other relief requests are denied. 6) NASD
Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7)
Respondent is liable and shall pay to the Claimant \$425.00 as reimbursement 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.


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ARBITRATOR

Michael S. Lando - Sole Public Arbitrator

AFFIRMATION

I, Michael S. Lando, 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.


Michael S. Lando

10/5/04
Signature Date

October 8, 2004
Date of Service (For NASD-DR office use only)