

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

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CASE: 04-01107

Stephen L. Braslow, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., and Daniel Liff, Respondents

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**ATTORNEYS:**

Claimant appeared *Pro Se*, Stephen L. Braslow, Amityville, NY.

For Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., and Daniel Liff, ("Respondents"), appeared Ann Parry, Esq., of Citigroup Global Markets, Inc., New York, NY.

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

**DATE FILED:** February 19, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondents breached their fiduciary duty and failed to state material facts in connection with the offer and sale of WorldCom stock. Claimant maintained that due to Respondents' actions, his account suffered financial losses.

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**Claim Data**

Claim: \$10,000.00  
Filing Fees: 325.00  
Other: Unspecified

**Award Data**

Award: \$10,000.00  
Filing Fees: \$325.00  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., is solely liable and shall pay to the Claimant \$10,000.00. 2) All other relief requests are denied. 3) All claims against Respondent, Daniel Liff are dismissed in their entirety. 4) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 5) Respondent, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., is solely liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

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**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 \$325.00 Member Surcharge previously invoiced.

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Award 04-01107

ARBITRATOR

Rebecca A. Novak - Sole Public Arbitrator

AFFIRMATION

I, Rebecca A. Novak, 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.

Rebecca A. Novak  
Rebecca A. Novak

9/19/04  
(Signature Date)

September 21, 2004  
Date of Service (For NASD-DR office use only)