

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-03056

Robin Vaughn Whitney, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., Jack B. Grubman, Sanford I. Weill, and Eric Trilling, Respondents

ATTORNEYS:

Claimant, Robin Vaughn Whitney, ("Claimant"), appeared *Pro Se*, Madison, CT.

Respondents, Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc., Jack B. Grubman, Sanford I. Weill, and Eric Trilling, ("Respondents"), appeared through their in-house counsel, Ann Parry, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member and Associated Persons.

DATE FILED: April 27, 2004.

CASE SUMMARY: Claimant alleged that Respondents failed to manage conflicts of interest; established business practices which required research analysts to support investment bankers; failed to disclosed inherent conflicts of interest; failed to supervise activities of research analysts. Claimant additionally alleged that Respondents breached their fiduciary duty, and omitted to state material facts in connection with the offer and sale of WorldCom stock. Claimant maintained that due to Respondents' actions, her account suffered financial losses.

Claim Data

Claim: \$8,863.37
Punitive: \$5,000.00
Interest: \$3,025.24
Filing Fees: \$425.00
Other: \$870.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$212.50
Other: \$.00

AWARD: 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 Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest 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. 6) Respondents are jointly and severally liable and shall pay Claimant \$212.50 as reimbursement of one-half of the filing fee.

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

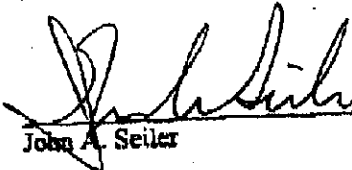
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ARBITRATOR

John A. Seiler - Sole Public Arbitrator

AFFIRMATION

I, John A. Seiler, 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.



John A. Seiler

9/16/04

Signature Date

September 22, 2004

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