

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

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CASE: 04-03776

Sally U. Jones, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. and Jack B. Grubman, Respondents

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**ATTORNEYS:**

For Claimant Sally U. Jones ("Claimant") appeared Richard Lantinberg, Esq., of the firm Cooper Ridge & Lantinberg, Jacksonville, FL.

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

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

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**DATE FILED:** May 26, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondents omitted to state material facts in connection with the offer and sale of WorldCom stock. Claimant further alleged that Respondents violated Section 17(a) of the Securities Act of 1933, Chapter 517.301 of the Florida Securities and Investor Protection Act, NASD Rule 2210(d)(1), and NYSE Rule 202.02. Claimant maintained that due to Respondents' actions, her account suffered losses.

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**Claim Data**

Claim: \$22,200.00  
Punitive: Unspecified  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

**Award Data**

Award: \$.00  
Punitive: \$.00  
Interest: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$.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) The claims of Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) The \$300.00 hearing session deposit was waived by the arbitrator. 7) Claimant shall pay NAD Dispute Resolution \$62.50, which is one-half of the filing fee. 8) Respondents shall pay NSD Dispute Resolution \$62.50, which is one half of the filing fee.

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

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Ronald A. Isackson -

Sole Public Arbitrator

AFFIRMATION

I, Ronald A. Isackson, 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.

Ronald A. Isackson  
Ronald A. Isackson

1-10-05  
Signature Date

January 31, 2005  
Date of Service (For NASD-DR office use only)