

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05250

James A. Bateh, Claimant v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.
and Jack B. Grubman, Respondents

ATTORNEYS:

For Claimant James A. Bateh ("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. and Steven L. Saxl,
Esq., of the firm Greenberg Traurig, LLP, New York, NY.

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

DATE FILED: July 22, 2004.

CASE SUMMARY: Claimant alleged that Respondents omitted to state material facts in
connection with the offer and sale of WorldCom and Williams Communications Group, Inc.,
stocks in violation of Section 17(a) of the Securities Act of 1933. Claimant further alleged
violations of NASD Rule 2210(d)(1), NYSE Rule 202.02, breach of fiduciary duty, and
respondeat superior. Claimant maintained that due to Respondents' actions, his account suffered
losses.

ARBITRATOR'S REPORT: "I was asked to comment on whether the following documents
which I had elected to accept affected my decision:

1. Letter of 1/28/05 to NASD from Cooper, Ridge & Lantinberg;
2. Letter of 1/14/05 to NASD from Greenberg Traurig;
3. Letter of 1/28/05 to NASD from Greenberg Traurig.

I can affirm that none of these documents had any effect on the decision. In summary, the claim
is denied in its entirety, including the request for punitive damages. No interest is awarded.
Both Claimant and Respondents should pay their own lawyer's fees and own filing fees."

Claim Data

Claim: \$10,209.21
Punitive: \$10,000.00
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$0.00
Punitive: \$0.00
Interest: \$0.00
Attorney Fees: \$0.00
Filing Fees: \$0.00
Other: \$0.00

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 Claimant are dismissed in
their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are
denied. 4) All requests for attorney fees are denied. 5) All other relief requests are denied. 6)

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NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously

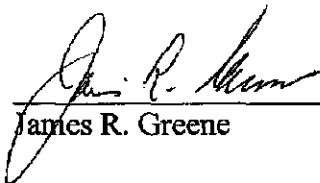
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

ARBITRATOR

James R. Greene - Sole Public Arbitrator

AFFIRMATION

I, James R. Greene, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


James R. Greene

3/23/05
Signature Date

April 5, 2005
Date of Service (For NASD-DR office use only)