

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-05344

Lillian Alison Weiner Trust, Nancy and Mitchel Shapiro, TTEES, Claimant v. Citigroup Global Markets, Inc., Respondent

ATTORNEYS:

For Claimant Lillian Alison Weiner Trust ("Claimant") appeared David E. Sternberg, Esq., of the firm Wapner, Newman, Wigrizer & Brecher, Philadelphia, PA.

For Respondent Citigroup Global Markets, Inc. ("Respondent") appeared Ann Parry, Esq., in-house counsel, Citigroup Global Markets, Inc., New York, NY.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: July 26, 2004.

CASE SUMMARY: Claimant alleged that Respondent omitted to state material facts in connection with the Respondent's recommendation to purchase shares of WorldCom stock. Claimant further alleged that Respondent is liable under Pennsylvania law for breach of fiduciary duty, negligence, failure to supervise, fraud, and breach of contract.

Claim Data

Claim: \$13,363.74
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$13,363.74
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50
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 for and shall pay to the Claimant \$13,363.74. 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) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondent is liable and shall pay Claimant \$212.50 as reimbursement of one-half of the filing fee.

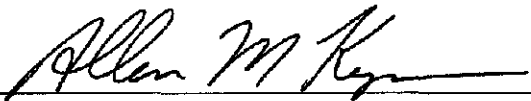
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

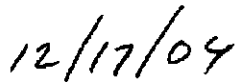
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Award 04-05344

Allen Mark Kerpan, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Allen Mark Kerpan, Esq., 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.


Allen Mark Kerpan, Esq.


Signature Date

January 18, 2005
Date of Service (For NASD-DR office use only)