

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08507

Vern L. Moore (Claimant) v. Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.
(Respondent)

ATTORNEYS:

For Claimant Vern L. Moore ("Claimant") appeared Jan Graham, Esq., of the Jan Graham Law
Offices, Salt Lake City, UT.

For Respondent Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc.
("Respondent") appeared Ann Parry, Esq., in-house counsel, Citigroup Global Markets, Inc. f/k/a
Salomon Smith Barney, Inc., New York, NY.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: December 14, 2004.

CASE SUMMARY: Claimant alleged that Respondent intentionally and recklessly failed to
disclose material facts in connection with the sale of WorldCom stock to the Claimant. Claimant
further alleged violation of the Anti-Fraud Provision of the Idaho Securities Act, common law
fraud, breach of fiduciary duty, and unsuitability. Claimant maintained that due to Respondent's
actions, the account suffered losses. Claimant's claim involved shares of WorldCom stock.

Claim Data

Claim: \$9,118.50
Punitive: \$15,000.00
Interest: \$3,403.53
Attorney Fees: Unspecified
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$0.00
Punitive: \$0.00
Interest: \$0.00
Attorney Fees: \$0.00
Filing Fees: \$212.50
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) 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.

Page Two
Award 04-08507

Richard J. Lawrence, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Richard J. Lawrence, 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.


Richard J. Lawrence, Esq.

5-31-05
Signature Date

June 7, 2005

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