

Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Roslyn Berger (Claimant) vs. Salomon Smith Barney, Inc. k/n/a Citigroup Global Markets, Inc. (Respondent)

Case Number: 04-08636

Hearing Site: New York, New York

Nature of the Dispute: Customer vs. Member

REPRESENTATION OF PARTIES

Claimant Roslyn Berger hereinafter referred to as "Claimant": Debra Hayes, Esq.,
Woska Hayes, LLP, Kingwood, TX.

Respondent Salomon Smith Barney, Inc., k/n/a Citigroup Global Markets and
hereinafter referred to as "Respondent": Mark L. Parmelee, Esq., Greenberg Traurig,
LLP, New York, NY.

CASE INFORMATION

Statement of Claim filed on or about: December 23, 2004.
Claimant signed the Uniform Submission Agreement: September 16, 2004.

Answer to the Statement of Claim filed by Respondent on or about: February 22, 2005.
Respondent did not sign a Uniform Submission Agreement.

CASE SUMMARY

Claimant asserted the following causes of action: breach of contract; breach of fiduciary duty; unsuitability and violation of the know your customer rule.

Unless specifically admitted in its Answer, Respondent denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

Claimant requested compensatory damages in the amount of \$50,000.00, punitive damages, interest, attorneys' fees and costs. The causes of action relate to shares of WorldCom common stock.

Respondent requested that Claimant's claims be dismissed in their entirety.

OTHER ISSUES CONSIDERED AND DECIDED

Respondent did not file with NASD Dispute Resolution a properly executed Uniform Submission Agreement but is required to submit to arbitration pursuant to the Code and having answered the claim is bound by the determination of the Panel on all issues submitted.

On or about May 24, 2006, Respondent filed a Motion for Sanctions and a Motion to Dismiss alleging that Claimant's claims were released due to an existing class action lawsuit. The arbitrators considered Respondent's Motions and Claimant's response thereto and after due deliberation by the Panel unanimously determined to dismiss Claimant's claims with prejudice.

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claims are dismissed in their entirety without prejudice.
2. Any and all relief not specifically addressed herein, including punitive damages, is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee	= \$	175.00
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Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated persons at the time of the events giving rise to the dispute. Accordingly, Salomon Smith Barney k/n/a Citigroup Global Markets, Inc., is a party.

Member surcharge	= \$	875.00
Pre-hearing process fee	= \$	750.00
Hearing process fee	= \$	1,000.00

Forum Fees and Assessments

The Panel has assessed forum fees for each session conducted or each decision rendered on a discovery-related motion on the papers. A session is any meeting between the parties and the arbitrators, including a pre-hearing conference with the

arbitrators, that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) Decision on discovery-related motion on the papers
with (1) one arbitrator @ \$200.00 = \$ 200.00
Claimant submitted (1) discovery-related motion

One (1) Pre-hearing conference session with Panel @ \$600.00 per session = \$ 600.00
Pre-hearing conferences: March 24, 2006 1 session
Total Forum Fees \$ 800.00

1. The Panel has assessed \$800.00 of the forum fees to the Claimant.

Fee Summary

1. Claimant is solely liable for:

Initial Filing Fee	= \$ 175.00
Forum Fees	= \$ 800.00
Total Fees	= \$ 975.00
Less payments	= \$ 975.00
Balance Due NASD Dispute Resolution	= \$ 0.00

2. Respondent is solely liable for:

Member Fees	= \$ 2,625.00
Total Fees	= \$ 2,625.00
Less payments	= \$ 1,750.00
Balance Due NASD Dispute Resolution	= \$ 875.00

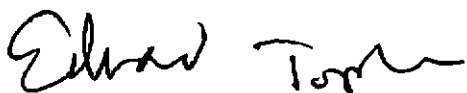
All balances are payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Edward G. Toptani, Esq.	-	Public Arbitrator, Presiding Chairperson
James M. Coakley	-	Public Arbitrator
John W. Engelskirger	-	Non-Public Arbitrator

Concurring Arbitrators' Signatures

I, the undersigned arbitrator, 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.



Edward G. Toptani, Esq.
Public Arbitrator, Presiding Chairperson

6/14/06

Signature Date

James M. Coakley
Public Arbitrator

Signature Date

John W. Engelskirger
Non-Public Arbitrator

Signature Date

June 14, 2006
Date of Service (For NASD Dispute Resolution use only)

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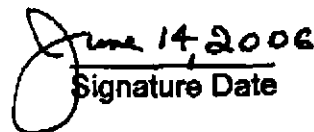
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Signature Date


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Signature Date

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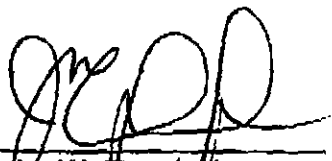
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Signature Date

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