

**Award
NASD Dispute Resolution**

In the Matter of the Arbitration Between:

Names of the Claimants

Case Number: 05-05990

Citigroup Global Markets, Inc. f/k/a
Salomon Smith Barney, Inc.
Charles Sawicki
Christopher Sinkula
Joseph S. Jones IV

Name of the Respondent

Hearing Site: Boca Raton, Florida

Dean Good

Nature of the Dispute: Member and Associated Person vs. Customer.

REPRESENTATION OF PARTIES

For Citigroup Global Markets, Inc. f/k/a Salomon Smith Barney, Inc. ("Citigroup"), Charles Sawicki ("Sawicki"), Christopher Sinkula ("Sinkula"), and Joseph S. Jones IV ("Jones"), hereinafter collectively referred to as "Claimants": Neil B. Solomon, Esq., Greenberg Traurig, P.A., West Palm Beach, Florida.

For Dean Good, hereinafter referred to as "Respondent": William Young, Esq., Hooper & Weiss, L.L.C., Orlando, Florida.

CASE INFORMATION

Statement of Claim filed on or about: November 22, 2005.

Claimant Citigroup signed the Uniform Submission Agreement on: April 5, 2006.

Claimants Sawicki, Sinkula and Jones signed Uniform Submission Agreements on: December 9, 2005.

Respondent did not file a Statement of Answer.

Respondent did not sign an executed Uniform Submission Agreement.

CASE SUMMARY

Claimants Sawicki, Sinkula and Jones asserted that they were entitled to expungement of their NASD Central Registration Depository ("CRD") records pursuant to the settlement agreement entered into between the parties in the arbitration styled Dean Good v.

Charles Sawicki, Christopher Sinkula, Joseph Jones IV, and Salomon Smith Barney,
NASD Dispute Resolution Arbitration No. 03-02722 ("Good arbitration").

RELIEF REQUESTED

Claimants Sawicki, Sinkula and Jones requested that the Arbitrator enter an Award expunging all references to the Good arbitration from their NASD CRD records.

OTHER ISSUES CONSIDERED AND DECIDED

Respondent did not file with NASD Dispute Resolution, Inc. a properly executed submission agreement but is required to submit to arbitration pursuant to the NASD Code of Arbitration Procedure ("the Code") and having participated in the initial pre-hearing telephonic conference, is bound by the determination of the Arbitrator on all issues submitted.

On or about April 19, 2006, Claimants and Respondent informed NASD Dispute Resolution that they agreed that a sole arbitrator may be appointed to hear Claimants Sawicki, Sinkula and Jones' request for expungement.

During the initial telephonic pre-hearing conference, the Arbitrator granted the request for expungement of Claimants Sawicki, Sinkula and Jones' NASD CRD records.

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 testimony and evidence presented at the initial telephonic pre-hearing conference, and the Proposed Stipulated Award, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

Inasmuch as the expungement request made by Claimants Sawicki, Sinkula and Jones in this matter relates to an arbitration claim that was filed prior to April 12, 2004, the Arbitrator has determined that Rule 2130 does not apply. Accordingly, the Arbitrator recommends the expungement of all references to Arbitration Case Number 03-02722 from Claimants Sawicki, Sinkula and Jones' public and non-public registration records maintained by the NASD CRD, with the understanding that pursuant to NASD Notice to Members 99-09 and 99-54, Claimants Sawicki, Sinkula and Jones must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

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	= \$ 500.00
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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 person(s) at the time of the events giving rise to the dispute. In this matter, Claimant Citigroup is a member firm and a party.

Member Surcharge	= \$1,500.00
Pre-Hearing Process Fee	= \$ 750.00
Total Member Fees	= \$2,250.00

Adjournment Fees

The following adjournment fees are assessed:

There were no adjournments requested during these proceedings for which fees were assessed.

Three-Day Cancellation Fees

Fees apply when a hearing on the merits is postponed or settled within three business days before the start of a scheduled hearing session:

There were no three-day cancellation fees assessed during these proceedings.

Injunctive Relief Fees

Injunctive relief fees are assessed to each member or associated person who files for a temporary injunction in court. Parties in these cases are also assessed arbitrator travel expenses and costs when an arbitrator is required to travel outside his or her hearing location and additional arbitrator honoraria for the hearing for permanent injunction. These fees, except the injunctive relief surcharge, are assessed equally against each party unless otherwise directed by the panel.

There were no injunctive relief fees assessed during these proceedings.

Forum Fees and Assessments

The Arbitrator assesses forum fees for each hearing session conducted. A hearing session is any meeting between the parties and the arbitrator, including a pre-hearing conference with the arbitrator, that lasts four (4) hours or less. Forum fees associated with these proceedings are:

One (1) Pre-hearing session with a single arbitrator @ \$ 450.00/session = \$ 450.00
Pre-hearing conference: May 30, 2006 1 session

Total Forum Fees = \$ 450.00

The Arbitrator has assessed \$150.00 of the forum fees to Claimant Sawicki.

The Arbitrator has assessed \$150.00 of the forum fees to Claimant Sinkula.

The Arbitrator has assessed \$150.00 of the forum fees to Claimant Jones.

Administrative Costs

Administrative costs are expenses incurred because a party requested additional services beyond the normal administrative services. These additional services include, but are not limited to, additional copies of arbitrator awards, copies of audio transcripts, retrieval of documents from archives, interpreters, and security.

There were no administrative costs incurred during these proceedings.

Fee Summary

Claimant Citigroup is solely liable for:

<u>Member Fees</u>	= \$2,250.00
<u>Total Fees</u>	= \$2,250.00
<u>Less payments</u>	= \$1,500.00
<u>Balance Due NASD Dispute Resolution</u>	= \$ 750.00

Claimants are jointly and severally liable for:

<u>Initial Filing Fee</u>	= \$ 500.00
<u>Total Fees</u>	= \$ 500.00
<u>Less payments</u>	= \$ 500.00
<u>Balance Due NASD Dispute Resolution</u>	= \$ 0.00

Claimant Sawicki is solely liable for:

<u>Forum Fees</u>	= \$ 150.00
<u>Total Fees</u>	= \$ 150.00
<u>Less payments</u>	= \$ 150.00
<u>Balance Due NASD Dispute Resolution</u>	= \$ 0.00

Claimant Sinkula is solely liable for:

Forum Fees	= \$ 150.00
Total Fees	= \$ 150.00
Less payments	= \$ 0.00
Balance Due NASD Dispute Resolution	= \$ 150.00

Claimant Jones is solely liable for:

Forum Fees	= \$ 150.00
Total Fees	= \$ 150.00
Less payments	= \$ 0.00
Balance Due NASD Dispute Resolution	= \$ 150.00

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

ARBITRATOR

Will Murphy, Esq. - Public Arbitrator, Presiding Chairperson

Arbitrator's Signature

/s/
Will Murphy, Esq.
Public Arbitrator, Presiding Chairperson

June 12, 2006
Signature Date

June 15, 2006
Date of Service (For NASD Dispute Resolution office use only)

Jun. 12. 2006 3:10PM

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Claimant Sinkula is solely liable for:

Forum Fees	= \$ 150.00
Total Fees	= \$ 150.00
Less payments	= \$ 0.00
Balance Due NASD Dispute Resolution	= \$ 150.00

Claimant Jones is solely liable for:

Forum Fees	= \$ 150.00
Total Fees	= \$ 150.00
Less payments	= \$ 0.00
Balance Due NASD Dispute Resolution	= \$ 150.00

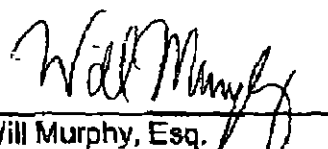
All balances are due and payable to NASD Dispute Resolution and are due upon receipt pursuant to Rule 10330(g) of the Code.

ARBITRATOR

Will Murphy, Esq.

- Public Arbitrator, Presiding Chairperson

Arbitrator's Signature


Will Murphy, Esq.
Public Arbitrator, Presiding Chairperson

12 June 2006
Signature Date

Date of Service (For NASD Dispute Resolution office use only)