

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

4.

CASE: JEROME M. ALBERT V. SHEARSON LEHMAN HUTTON INC. AND TOM CARL

#89-03

DATE FILED: 12/28/88 FIRST SCHEDULED June 14, 1989 DECIDED June 14, 1989

CASE SUMMARY: * Money fund dispute where claimant alleges unsuitability, mismanagement of his account and failure to properly follow customer's instructions.

CLAIMANT'S INITIALS LM RESPONDENT'S Tom THIRD PARTY'S INITIALS N/A
SESSIONS: #1 FIRM'S Slavery & Fidelity for the Defendants

CLAIM AND AWARD DATA:

CLAIM	<u>\$10,000.00</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$0</u>
PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>N/A</u>
ATTY FEES	<u>N/A</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>N/A</u>
DEPOSIT	<u>\$200.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>N/A</u>
COSTS	<u>\$200.00</u>	COSTS	<u>N/A</u>	COSTS	<u>N/A</u>

DECISION: The undersigned arbitrators have decided and determined in full and final settlement of all claims between the parties that:*

THAT Claimant's claim is denied;

THAT the costs of the arbitration, \$200.00, shall be paid by Respondent Shearson Lehman Hutton Inc. Respondent shall pay \$200 directly to Claimant as a refund of his initial deposit.

REMARKS: *

ARBITRATORS **

MARTIN J. SIEGEL, ESQ.
SOLE ARBITRATOR


SIGNATURE

SIGNATURE

SIGNATURE

CITY New York STATE New York DATE: June 14, 1989

* Additional pages may be attached.
** (Dissents)