

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

ASE: David Capo v. E.F. Hutton

#89-06

ATE FILED: 2/1/88 FIRST SCHEDULED 7/27/89 DECIDED 7/27/89

ASE SUMMARY: \* Dispute involves XMI puts. Claimant alleges October 20, 1987

transaction should have been executed at a better price. limit order

price on not at all.

CLAIMANT'S INITIALS [Signature] RESPONDENT'S [Signature] THIRD PARTY'S INITIALS \_\_\_\_\_

SESSIONS: \_\_\_\_\_

CLAIM AND AWARD DATA:

CLAIM	<u>\$75,000</u>	CC/3rd PTY	_____	AWARD	<u>\$44,100</u>
PUNITIVE	_____	PUNITIVE	_____	PUNITIVE	_____
ATTY FEES	_____	ATTY FEES	_____	ATTY FEES	_____
DEPOSIT	_____	DEPOSIT	_____	DEPOSIT	_____
COSTS	<u>\$500</u>	COSTS	_____	COSTS	_____

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

THAT the Claimant David Capo is awarded the sum of \$44,100 inclusive of interest

THAT the costs of the arbitration, \$1,000, shall be shared by the parties.

The Claimant has already paid \$500 as his initial deposit. Respondent E.F. Hutton shall remit \$500 directly to the American Stock Exchange;

THAT this award is in final and complete resolution of all the claims and contentions asserted by the parties in this matter.

MARKS: \* \_\_\_\_\_

ARBITRATORS \*\*

DANIEL WEBER, ESQ. CHAIR

CORRINE WHITAKER

BERNARD SEGELIN, ESQ.

CITY LOS ANGELES STATE CALIFORNIA

Daniel C. Weber  
DANIEL C. WEBER  
SIGNATURE  
Corrine Whitaker  
CORRINE WHITAKER  
SIGNATURE  
Bernard Segelin  
BERNARD SEGELIN  
SIGNATURE  
DATE: July 27, 1989

Additional pages may be attached.

\* (Dissents)