

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

ASE: SMITH BARNEY, HARRIS, UPHAM & CO., INC., V. YASUFI
TATEISHI & TATEISHI & CO., INC.

#89-23

ATE FILED: Oct 6, 1988 FIRST SCHEDULED Dec 19, 1989 DECIDED Dec 19, 1989
ASE SUMMARY: * Member v. Customer transaction dispute. Member firm Claimant
alleges that Respondent customer and customer's corporation
effected trades on margin which resulted in an unsecured debit
balance. Member firm Claimant is requesting attorney fees.

Unsecured debit caused by failure to pay for transaction.

CLAIMANT'S INITIALS *M.D.* RESPONDENT'S _____ THIRD PARTY'S INITIALS _____
SESSIONS: Session 1 & 2

CLAIM AND AWARD DATA:

LAIM	\$23,500.00	CC/XXXXXX	\$841.03	AWARD	\$23,319.30
UNITIVE	N/A	PUNITIVE	N/A	PUNITIVE	N/A
TTY FEES	Requested	ATTY FEES	Requested	ATTY FEES	Denied
EPOSIT	\$400.00	DEPOSIT	N/A	DEPOSIT	N/A
OSTS	\$800.00	COSTS	N/A	COSTS	\$800.00

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

THAT Claimant is awarded \$23,319.30 against Tateishi & Co., Inc.;

THAT request for attorney fees is denied; and

THAT the costs of the arbitration, \$800.00, shall be paid by Respondent Tateishi & Co., Inc.

Respondent shall pay \$400.00 directly to Claimant as a refund of its initial deposit and shall remit \$400.00 directly to the American Stock Exchange.

REMARKS: *

ARBITRATORS **

HOWARD MANDELL, ESQ.

RANCES SCANLON, ESQ.

KEVIN AHEARN

Howard Mandell
SIGNATURE
Rances Scanlon
SIGNATURE
Kevin C. Ahearn
SIGNATURE

CITY New York STATE New York DATE: January 18, 1990

* Additional pages may be attached.
* (Dissents)