

AMERICAN STOCK
IN THE MATTER OF ARBITRATION BETWEEN

CASE: JOHN D. STULIGROSS v. ROSE & CO. (Charles Schwab & Co. successor-in-
interest to Rose & Co.)

#90-04

DATE FILED: July 7, 1989 FIRST SCHEDULED March 19, 1990 DECIDED March 19, 1990

CASE SUMMARY: * Customer v. small claims member dispute. Claimant alleges untimely
delay in receiving verbal and written confirmation of an options assignment.

CLAIMANT'S INITIALS JS RESPONDENT'S JS THIRD PARTY'S INITIALS N/A
SESSIONS:

CLAIM AND AWARD DATA:

INITIAL	<u>\$1,360.85</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$900.00</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>\$25.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>\$25.00</u>
COSTS	<u>\$25.00</u>	COSTS	<u>N/A</u>	COSTS	<u>\$25.00</u>

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

THAT Claimant is awarded \$900.00;

THAT cost of the arbitration, \$25.00 shall be borne by the Respondent
Rose & Co. who shall remit the sum of \$25.00 directly to Claimant
as a refund of his initial deposit.

REMARKS: * Charles Schwab & Co., Inc. is the successor-in-interest to Rose & Co.

ARBITRATORS **
Martin J. Siegel, Esq., Sole Arbitrator

X 
SIGNATURE

SIGNATURE

SIGNATURE

CITY New York STATE New York DATE: March 19, 1990

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