

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

WILLIAM & FLORENCE O'CONNOR v. PRUDENTIAL-BACHES SECURITIES INC.

(customer small claims dispute)

#90-10

FILED: June 1, 1989 FIRST SCHEDULED May 24, 1990 DECIDED May 24 1990

CASE SUMMARY: \* Customer v. member stock certificate dispute. Claimant alleges that member firm Respondent placed an unauthorized "stop" on their stock certificate and forgery.

CLAIMANT'S INITIALS *WFO* RESPONDENT'S *LC* THIRD PARTY'S INITIALS

DEPOSITIONS: 1

FINANCIAL AND AWARD DATA:

CLAIM	\$275.00	CC/3rd PTY	N/A	AWARD	\$275.00
PUNITIVE	N/A	PUNITIVE	N/A	PUNITIVE	N/A
ATTY FEES	N/A	ATTY FEES	N/A	ATTY FEES	N/A
DEPOSIT	15.00	DEPOSIT	N/A	DEPOSIT	
COSTS	\$15.00	COSTS	N/A	COSTS	\$15.00

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

THAT Claimants are awarded \$275;

THAT the cost of the arbitration, \$15.00 are assessed against

Respondent Prudential-Bache who shall remit \$15.00 directly to

the Claimants who deposited said amount as their initial filing fee.

REMARKS: \*

ARBITRATORS \*\*

Charles Kleinbaum, Esq. Sole Arbitrator



SIGNATURE

SIGNATURE

SIGNATURE

CITY *NY* STATE *NY*

DATE: *5/24/90*

Additional pages may be attached.  
(Dissents)