

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: WILLIAM T. RICCI V. SHEARSON LEHMAN HUTTON, INC.

AND EDWIN HUNTER, III

#90-13

DATE FILED: Nov 17, 1988 FIRST SCHEDULED June 11, 1990 DECIDED June 11, 1990

CASE SUMMARY: \* Customer v. member small claims dispute. Claimant alleges  
that broker failed to follow his instructions to execute  
an order to sell.

CLAIMANT'S INITIALS WF RESPONDENT'S EX THIRD PARTY'S INITIALS \_\_\_\_\_

SESSIONS: 142

CLAIM AND AWARD DATA:

CLAIM	<u>\$5,271.01</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$3,400 w/interest</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>\$200</u>
COSTS	<u>\$200.00</u>	COSTS	<u>N/A</u>	COSTS	<u>\$200.00 split</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 \$3,400.00 with interest;

THAT the cost of the arbitration \$200.00 shall be split between

the parties. The Respondent Shearson Lehman Hutton shall pay

\$100.00 directly to Claimant as a refund of his initial \$200.00

filing fee.

REMARKS: \*

ARBITRATORS \*\*

VICTOR PACHTER

Vicki Pachter  
SIGNATURE

SIGNATURE

SIGNATURE

CITY PHILADELPHIA STATE PENNSYLVANIA

DATE: JUNE 18, 1990

\* Additional pages may be attached.

\*\* (Dissents)