

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CUSTOMER V. MEMBER

CASE: EVELYN B. ADAMS V. PAINWEBBER, INC. & CHRISTOPHER HODGES

#90-16

DATE FILED: March 2, 1989 FIRST SCHEDULED Feb 8, 1990 DECIDED July 18, 1990

CASE SUMMARY: * Claimant alleges fraud, unsuitability, negligence,
and breach of contract. Claimant request punitive damages
and attorney fees.

CLAIMANT'S INITIALS EA RESPONDENT'S PH ~~AND~~ THIRD PARTY'S INITIALS PH
SESSIONS:

CLAIM AND AWARD DATA:

CLAIM	<u>\$56,157.21</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$41,463.09</u>
PUNITIVE	<u>Requested</u>	PUNITIVE	<u>N/A</u>	PUNITIVE	<u>Denied</u>
ATTY FEES	<u>N/A</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>Denied</u>
DEPOSIT	<u>\$500.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u>\$500.00</u>
COSTS	<u>\$2,000.00</u>	COSTS	<u>\$2,000.00</u>	COSTS	<u>\$2,000.00</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 the sum of \$41,463.09 jointly and severally against

Respondents PaineWebber Incorporated and Christopher Hodges;

THAT Claimant's request for punitive damages is denied;

THAT Claimant's request for attorney fees is denied;

THAT the cost of the arbitration, \$2,000, shall be borne equally by

Respondents. Respondent PaineWebber shall remit \$500 directly to Claimant as

reimbursement of her initial filing deposit and shall remit \$500 directly to

the American Stock Exchange. Respondent Christopher Hodges shall remit

\$1,000 directly to the American Stock Exchange.

ARBITRATORS **

WALTER W. HANES

ALISON HARDAGE **

RICHARD D. FLEMINGS

CITY TAMPA STATE FLORIDA

DATE: 8-7-90

* Additional pages may be attached.

** (Dissent)

Walter W. Hanes
SIGNATURE

Alison Hardage
SIGNATURE

Richard D. Flemings
SIGNATURE