

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

SE: FIRST OPTIONS OF CHICAGO V. LAWRENCE ROTH & SHASTA SECURITIES

90-28

DATE FILED: 11/27/89 FIRST SCHEDULED NOT SCHEDULED DECIDED 11/19/90

CASE SUMMARY: * Claimant alleges breach of promissory note and breach
of an options market maker agreement.

CLAIMANT'S INITIALS RESPONDENT'S THIRD PARTY'S INITIALS

SESSIONS: Hearing waived by Claimant.

CLAIM AND AWARD DATA:

CLAIM	\$6,303.51± int.	CC/3rd PTY	N/A	AWARD	\$6,388.51
PUNITIVE	N/A	PUNITIVE	N/A	PUNITIVE	N/A
ATTY FEES	Requested	ATTY FEES	N/A	ATTY FEES	Denied
DEPOSIT	\$200.00	DEPOSIT	N/A	DEPOSIT	\$200.00
COSTS	\$200.00	COSTS	N/A	COSTS	\$200.00

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

THAT Claimant is awarded the sum of \$6,388.51;

THAT the request for attorney fees is denied;

THAT the costs of the arbitration, \$200.00 shall be

borne by the Respondents Lawrence Roth & Shasta Securities who

shall pay the sum of \$200.00 directly to the Claimant as

a refund of its initial filing deposit.

REMARKS: * Sole Arbitrator's decision based on pleadings.

ARBITRATORS **

MICHAEL P. GOLDEN, SOLE ARBITRATOR


SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK

DATE: NOVEMBER 19, 1990

* Additional pages may be attached.

** (Dissents)