

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: DONALD O'SHAUGHNESSY V. FAHNESTOCK & CO., INC., JEROME RICHARD
& CHRIS CARROLL

92-14

DATE FILED: 9/6/91 FIRST SCHEDULED 6/5/92 DECIDED 6/5/92

CASE SUMMARY: * Claimant v. member arbitration. Claimant alleges that brokerage firm
failed to sell Pepsicola stock and request an investigation.

CLAIMANT'S INITIALS Don RESPONDENT'S JP THIRD PARTY'S INITIALS _____
SESSIONS: 1&2

CLAIM AND AWARD DATA:

| | | | | | |
|-----------|-------------------|------------|------------------|-----------|-----------------|
| CLAIM | <u>\$7,208.54</u> | CC/3rd PTY | <u>N/A</u> | AWARD | <u>Denied</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>Requested</u> | ATTY FEES | <u>Denied</u> |
| DEPOSIT | <u>\$150.00</u> | DEPOSIT | <u>N/A</u> | DEPOSIT | |
| COSTS | | COSTS | | COSTS | <u>\$150.00</u> |

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

~~THE~~ Claimant's claim is denied;

The Respondents' request for attorney fees is denied;

The costs of the arbitration, \$150, shall be paid by the Claimant who has already remitted such amount as his initial deposit.

ATTORNEY: Donald O'Shaughnessy - Pro-Se Malverne, New York
Charles Padgett, Esq. - Fahnestock & Co. - Jerome Richard & Chris Carroll
Representing All Respondents - New York, NY

ARBITRATORS **

RICHARD CHUSID, ESQ., CHAIRMAN

Richard Chusid
SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK DATE: JUNE 10, 1992

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