

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: BARRY & DONNA MARON V. PRUDENTIAL-BACHE SECURITIES & SCOTT SCHULMAN

Case Id # 93-04

DATE FILED: 1/15/92 FIRST SCHEDULED 10/23/92 DECIDED 3/11/93

CASE SUMMARY: \* A customer v. member arbitration. Claimant alleges  
churning, negligent conversion of securities and misrepresentation regarding  
his purchase of Krupp Government Income Trust securities and U.S. Treasury (zero)  
strips.

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

S. IONS: 1-4

CLAIM AND AWARD DATA:

CLAIM	<u>\$30,000.00</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>N/A</u>	ATTY FEES	<u>N/A</u>
DEPOSIT	<u>\$500.00</u>	DEPOSIT		DEPOSIT	
COSTS	<u>\$350.00</u>	COSTS	<u>\$850.00</u>	COSTS	<u>\$1700.00</u>

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

THAT the Claimants' claims are denied;

THAT all requests for attorney fees are denied;

THAT the cost of the arbitration, \$1700, shall be shared by all parties.

The Claimants, who have already remitted \$500, shall remit the balance of monies owed, \$350, directly to the American Stock Exchange. The

Respondents shall remit \$850 directly to the American Stock Exchange.

ATTORNEY: Stuart Grozbean, Esq./Representing Claimants /Belli, Weil & Grozbean,  
Rockville, MD.

Gary Klein, Esq./Representing Respondents /Prudential-Bache Securities,  
New York/NY

ARBITRATORS \*\*

HERBERT COHN, ESQ., CHAIRMAN

KURT M. SCHWARTZ

JOHN W. JOHNSON, ESQ.

CITY WASHINGTON STATE \_\_\_\_\_ DC \_\_\_\_\_

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

Stuart B. Cohn 4/27/93  
SIGNATURE

Kurt M. Schwartz 4/28/93  
SIGNATURE

John W. Johnson 5/1/93  
SIGNATURE

DATE: 5/2/93