

AMERICAN STOCK EXCHANGE  
IN THE MATTER OF ARBITRATION BETWEEN

CASE: ROBERT A. DUIS V. MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Case Id # 93-06

DATE FILED: 8/28/92 FIRST SCHEDULED 1/29/93 DECIDED 3/26/93

CASE SUMMARY: \* Customer v. member arbitration. Claimant requests reimbursement for \$10,000 loss on Bayou Steel and Arctic Alaska stock.

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

SESSIONS: Decision based on the pleadings submitted by parties.

CLAIM AND AWARD DATA:

CLAIM	<u>\$10,000.00+int.</u>	CC/3rd PTY	<u>N/A</u>	AWARD	<u>\$10,000.00</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		DEPOSIT	
COSTS		COSTS		COSTS	<u>\$200.00</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 \$10,000, with interest from July 1988 at 3% from the date of receipt of the award;

THAT the costs of the arbitration, \$200, shall be borne by Respondent Merrill Lynch, Pierce, Fenner & Smith, Incorporated who shall remit the sum of \$200 directly to Claimant as reimbursement of his initial filing fee

ATTORNEY: Robert A. Duis/Claimant/Pro-Se/Austria, Europe  
Christopher Cavuoti, Esq./Representing Respondent/Merrill Lynch, Pierce, Fenner & Smith, Inc./New York, NY.

ARBITRATORS \*\*

HAROLD FLOVICH, ESQ., SOLE ARBITRATOR

  
SIGNATURE

SIGNATURE

SIGNATURE

CITY NEW YORK STATE NEW YORK DATE: 4/8/93

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