

AMERICAN STOCK EXCHANGE
IN THE MATTER OF ARBITRATION BETWEEN

CASE: SAMUEL J. ROTH V. OPPENHEIMER & CO., INC. & S. WEBER

Case Id # 93-15

DATE FILED: 9/8/92 FIRST SCHEDULED 2/26/93 DECIDED 9/20/93

CASE SUMMARY: * Claimant alleges unsuitability, negligence and fraud by Responder
broker & firm in Eastern Airlines stock, and bonds; TWA bonds, Transco
Exploration Partners stock; Harcourt Bruce, Texas Air and First World
Cheese stocks.

CLAIMANT'S INITIALS [Signature] RESPONDENT'S [Signature] THIRD PARTY'S INITIALS _____
SESSIONS: #8

CLAIM AND AWARD DATA:

CLAIM	<u>\$325,000.00</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>Requested</u>	ATTY FEES	<u>N/A</u>	ATTY FEES	<u>Denied</u>
DEPOSIT	<u>\$950.00</u>	DEPOSIT	<u>N/A</u>	DEPOSIT	<u></u>
COSTS	<u>\$5,250.00</u>	COSTS	<u></u>	COSTS	<u>\$6,250.00</u>

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

THAT the Claimant's claims are denied;

THAT all claims against Stanley Weber are denied;

THAT the arbitration costs of \$6,200 shall be paid by Claimant. Claimant has already remitted the sum of \$950 as his initial filing deposit. The balance of \$5,250 should be remitted directly to the American Stock Exchange.

ATTORNEY: Dan Druz, Esq./Representing Claimant/Caron & Koffler/Hicksville, NY.
Eugene Small, Esq./Representing Respondents'/Oppenheimer & Co./
New York, NY.

ARBITRATORS **

HAROLD ELOVICH, ESQ., CHAIRMAN

JACK WIGLER

JOHN R. MORAN

CITY NEW YORK STATE NEW YORK DATE: OCTOBER 13, 1993

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